



**Highways England Company Limited  
Lower Thames Crossing  
Delivery Partner**

**NEC4 Professional Service Contract  
(June 2017 with amendments January 2019)**

**Volume 2C**

**Services and Systems Schedules**

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## Schedule SP1: General systems requirements

SP1-01 The *Consultant* manages and operates the Project Information Systems as part of the *service* and is responsible for the design, implementation and control of any functions or processes required for its operation as defined in the Scope.

SP1-02 The Project Information Systems include

- any hardware, software, process or system (including the IP Software) to be provided by the *Consultant* as set out in Schedule SP2 (Items to be provided by the *Consultant*),
- any hardware, software, process or system (including the Client Software) to be provided by the *Client* as set out in Schedule SP3 (Client Software),
- dedicated Staff to develop and provide support to the Project Information Systems,
- processes required to manage and operate the Project Information Systems,
- processes required to integrate the Client Software and IP Software (and any ancillary hardware, process, or systems) where required by the Scope,
- processes required to automate any workflows used within the Project Information Systems where required by the Scope,
- processes and systems (including the Client Software and the IP Software) required to load and validate data received
  - from the within the Project Information Systems where required by the Scope and
  - from the Project Contractors, Ancillary Contractors and Others where required by the Scope,
- processes, Client Software and IP Software (and any ancillary systems) required to integrate data to produce reports that present content from combined data sources,
- storage, distribution and management of data accrued in Providing the Service (including the document management and control systems and process as set out in Schedule SP15 (Document and Records Management)),
- wireless and wired network equipment and operations as defined in the Scope,
- mobile and remote connectivity to the Project Information Systems,
- the CDE and
- planned capabilities to ensure the effective migration and handover of data from the Project Information Systems to the *Client*, upon Completion as defined in section S560.

- SP1-03 The *Consultant* coordinates, operates and maintains the CDE, which forms part of the Project Information Systems and functions as the interface for data exchange between
- the ICT,
  - the Project Contractors,
  - the Ancillary Contractors and
  - Others (such as local authorities or statutory bodies).
- SP1-04 The CDE is the source of information used by the entities listed in section SP1-03 to collect, manage and disseminate data types that include
- electronic documents,
  - graphical data and
  - non-graphical data.
  - P6 programme data
  - GIS data
  - Risk data
  - Change management data
  - CAD and BIM model data
  - Reporting data required by scope CS 03 PMO and Integrated Project Controls
  - Electronic Document Management data
  - CEMAR data
  - Prism data
  - CRM data
  - Compliance and requirement management tool data
- SP1-05 The functions of the CDE include
- contract communications as defined in Schedule PS8 (Contract Management),
  - the exchange of data types defined in the Scope and
  - the processes and functions required to operate and integrate the Project Information Systems in collaboration with the Project Contractors, Ancillary Contractors and Others where necessary.
- SP1-06 The Project Information System is subject to user acceptance testing.
- SP1-07 Within 11 weeks of the Contract Date, the *Consultant* submits a UAT Plan to the *Service Manager* for acceptance. The UAT Plan includes:
- the relevant elements of the Project Information System that are subject to user acceptance testing

- the acceptance tests that apply to the relevant elements of the Project Information System
  - the acceptance criteria that apply to the relevant elements of the Project Information System
  - the methodology for completing user acceptance testing and
  - any additional consequences for failing to meet the relevant acceptance tests or acceptance criteria (in addition to the consequences set out in this Schedule SP1).
- SP1-07     A reason for not accepting the UAT Plan is that
- it does not adequately measure the quality of the relevant elements of the Project Information System or
  - it does not comply with the requirements defined in this Schedule SP1.
- SP1-08     If the UAT Plan is not accepted within 2 weeks of its submission by the *Consultant* to the *Service Manager*, the *Service Manager* determines the content of the UAT Plan (at its sole discretion) and the *Consultant* complies with such UAT Plan.
- SP1-09     Upon acceptance of the UAT Plan (or upon the *Service Manager* determining the final form of the UAT Plan pursuant to SP1-08) and during the Mobilisation Phase, the *Service Manager* undertakes the acceptance testing set out in the UAT Plan. Upon successful completion of the acceptance testing set out in the UAT Plan, the *Service Manager* issues the *Consultant* with an UAT acceptance certificate.
- SP1-10     In the event that all of the acceptance tests and acceptance criteria set out in the UAT Plan are not met in all material respects then this will be deemed to be a failure to meet Key Date 2.
- SP1-11     The Client Software and IP Software (and other ancillary systems) that form the CDE are set out in Schedule SP2 (Items to be provided by the *Consultant*) and Schedule SP3 (Client Software).
- SP1-12     The *Consultant* ensures that the Project Contractors and Ancillary Contractors comply with any obligations required of them in providing interfaces to the CDE as defined in the Project Contract Scope and Ancillary Contract Scope.
- SP1-13     In coordinating, operating and maintaining the CDE the *Consultant* ensures that
- all elements of the Project Information Systems provided by the Parties are compatible and function with each other as defined in the Scope
  - any interfaces between the Project Information Systems and the Project Contractors and Ancillary Contractors is compatible and functions as defined in the Scope and
  - the CDE is up-to-date by 0800 (UK time) on each working day with all information that has been created by the Client Software, IP Software (or other ancillary systems) that form part of the CDE (as identified in SP1-06) up to 1700 (UK time) on the previous working day.

## Schedule SP2 – Items to be provided by the *Consultant*

- SP2-01 Within 45 working days of the *starting date*, the *Consultant* provides the IP Software listed in Table SP2 to form part of the Project Information Systems, and ensures that they are fully operational in readiness to Provide the Service.
- SP2-02 Where necessary, the *Consultant* ensures that the IP Software applications which it provides interface and integrate with
- each other,
  - the Client Software,
  - the software and systems used by the Project Contractors and Ancillary Contractors, where necessary, to facilitate their compliance with the Project Contract Scopes and Ancillary Contract Scopes and
  - the software and systems used Others where necessary to Provide the Service.
- SP2-03 The *Consultant* collaborates with the Project Contractors, Ancillary Contractors and Others (as applicable) to ensure that their use of the IP Software meets the relevant requirements as set out in the Scope.
- SP2-04 The *Consultant* trains all individuals in the ICT in the use of any other hardware, software, process or system which it provides pursuant to this Schedule SP2 (including the IP Software) in accordance with section S830, as and when required by the *Client* and manages and operates a training record in respect of such training that is provided to the *Service Manager* upon request.
- SP2-05 The *Consultant* ensures that the IP Software is kept updated with any modifications, enhancements, software patches, new versions and bug fixes required to Provide the Service or as may be requested by the *Service Manager*. The *Consultant* ensures that the such updates are successfully tested before implementation and that such testing is recorded (the testing record is provided to the *Service Manager* on request).
- SP2-06 The *Consultant* ensures that the IP Software is scalable in terms of
- the supply of user licenses
  - user capacity
  - data storage capacity and
  - interoperability with other systems (as required by the *Service Manager*).
- SP2-07 Within three weeks of the *starting date*, the *Service Manager* provides the *Consultant* with a list of any data held by the *Client* or Technical Partner that the *Consultant* is required to migrate to IP Software in order to Provide the Service. The list of data includes any standards or metadata requirements that the *Consultant* is to meet in the migration of the data to the IP Software to the extent that any such requirements are required in addition to the requirements of GG 184/16 (see link in **Annex 02**) or set out in **Annex 09**.
- SP2-08 Within one week of receiving the list of data from the *Service Manager* (as set out in section SP2-07), the *Consultant* provides the *Service Manager* with any

reasonable requests it has in respect of the way it receives the data and any actions required by the *Consultant* to be taken by the *Client* or Technical Partner in order to ensure that the data is successfully migrated to the IP Software. The *Consultant* also provides a migration plan detailing the date by which each system's data will be required to be migrated (subject to section SP2-09).

- SP2-09 Within two weeks of the *Service Manager* receiving the *Consultant's* requests in respect of the way it receives the data and the timing of the migration of each system's data (as set out in section SP2-08), the Parties and the Technical Partner coordinate and execute the migration of the data to the IP Software.
- SP2-10 The *Consultant* ensures that the manner in which it migrates any data from the *Client* or Technical Partner to the IP Software does not diminish or inhibit the ability for such data to be used in the manner required to Provide the Service.
- SP2-11 If instructed by the *Service Manager*, during a Review Stage, the *Consultant* promptly
- decommissions any part of the IP Software, hardware, system or process it provides that is no longer required,
  - updates the IP Software, hardware, system or process it provides to reflect the latest technological developments that may improve the usability or integrability of the Project Information Systems,
  - improves efficiencies in allocation of resource, cost or programme to the benefit of the *Client* and
  - reduces inefficiencies in allocation of resource, cost or programme that are identified through the operation of a function or process within the Project Information Systems.
- SP2-12 The *Consultant* defines and implements an agile, portable and secure Bring Your Own Corporate Device (BYOCD) hardware solution for its Staff.
- SP2-13 As part of the *Consultant's* BYOCD hardware solution, it provides each of its Staff (who require access to the Project Information Systems) with a laptop computer that, at all times, is configured to meet or exceed the systems and hardware specifications required to interface with the IP Software and Client Software (and ancillary systems where relevant) listed in this Schedule SP2 and Schedule SP3 (Client Software).
- SP2-14 The *Consultant* ensures that each laptop computer it provides
- adheres to and remains at all times updated in alignment with all relevant security and data privacy policies set out in **Annex 09**,
  - meets or exceeds the internal memory capacity requirements needed to operate any IP Software or Client Software applications used within the Project Information Systems,
  - has the functionality for internet connectivity via LAN cable and Wi-Fi that meets or exceeds the parameters used by the Project Information Systems,



- meets or exceeds the processing capabilities required to operate the IP Software and Client Software applications that form part of the Project Information Systems and
  - has a built-in microphone and web camera that meets or exceeds the minimum technical specifications for video conferencing and internet telephony as required by the Project Information Systems.
- SP2-15 The *Consultant*, in ensuring full compatibility with the Project Information Systems until Completion, and as part of its management of the tenancy of Microsoft 365 on behalf of the *Client* (as defined in Schedule SP3 (Client Software)), keeps updated on all Staff laptops the applications required by its Staff to perform the functions of their role, including
- Microsoft Word,
  - Microsoft Excel,
  - Microsoft PowerPoint,
  - Microsoft Outlook,
  - Microsoft Teams and
  - any other Microsoft 365 tool or application required by the *Client*.
- SP2-16 The *Consultant* ensures that all laptop computers and any other EUC Devices it provides to its Staff in order to Provide the Service are supported by the *Consultant's* own IT support staff, external to the contract, in instances of
- loss or theft,
  - hardware damage or failure,
  - operating system or software failure,
  - installation of, or updates to, hardware, firmware or software,
  - installation of, or updates to, software provisions not made through, or required by the Project Information Systems and
  - updates to the *Consultant's* mandatory EUC devices that do not form part of, and are not in conflict with, the security and data privacy requirements defined in **Annex 09**.
- SP2-17 Upon the establishment of the ICT Locations the *Consultant* provides the work desks within them with the following computer peripherals for each work desk
- a mouse,
  - a keyboard,
  - an external display (between 21 and 24 inches in size with a minimum screen definition of 1080 pixels),
  - a docking station that provides adequate porting and connectivity to the peripherals described in this Schedule SP2, the laptop computer it provides to its Staff, and the ICT Location LAN,
  - all necessary cabling and connections (including power supply) and

- any specific computer peripherals that are identified during individual HSE self-assessments that will be provided to mitigate any negative health impacts that could result from the acceptable use of the ICT Location desk.

SP2-18 The *Consultant* provides five (5) Microsoft Surface Hubs.

Table SP2: IP Software	
System	Description
IT and Information Security Systems	The <i>Consultant</i> implements IT and Information Security systems to protect the confidentiality, integrity, and availability of all Project information it handles, and complies with the IT and information security requirements defined in <b>Annex 09</b> .
Business Collaborator	The <i>Consultant</i> provides Business Collaborator version 7.3.2 or later as the document and records management system for the ICT in accordance with Schedule SP15 (Documents and Records Management) .
Computer Aided Design (CAD) Software	The <i>Consultant</i> provides electronic CAD software that supports the implementation of a minimum of BIM Level 2 as described in Cabinet Office Government Construction Strategy papers dated May 2011 and 2016 (see link in <b>Annex 02</b> ).
Design and Engineering Collaboration Software	The <i>Consultant</i> provides design and engineering collaboration software that is fully compatible with Bentley Systems ProjectWise version 10.00.03.167 or later and later, and ensures that the software supports the implementation of BIM Level 2 as described in Cabinet Office Government Construction Strategy papers dated May 2011 and 2016 (see link in <b>Annex 02</b> ).
Geographic Information Systems (GIS)	The <i>Consultant</i> provides Esri ArcGIS Enterprise version 10.7.1 or later GIS software.
Commitments and Requirements Management Tool (CRMT)	The <i>Consultant</i> provides the CRMT and its associated processes, procedures, and functionality to ensure compliance with the requirements set out in Schedule CS6 (Quality Management).
Oracle Primavera P6	The <i>Consultant</i> provides Oracle Primavera P6 version 19.12 or later.
Change Control System	The <i>Consultant</i> provides a change control system.

**Table SP2: IP Software**

<b>System</b>	<b>Description</b>
Human Resource Management System (HRMS)	The <i>Consultant</i> uses a HRMS to manage issues such as recruitment, skill sets, employee history and payroll.

## Schedule SP3 – Client Software

- SP3-01 The *Client* provides the Client Software listed in Table SP3A and Table SP3B to the *Consultant* to form part of the Project Information Systems. The *Service Manager* notifies the *Consultant*, prior to the end of Delivery Phase 2 which of the optional Client Software listed in Table SP3C will be applicable to the Project and provided by the *Client* as Client Software.
- SP3-02 Unless otherwise instructed by the *Service Manager*,
- the *Consultant* manages and administers all “Project Domain Client Software” provided for use on the Project and
  - the *Client* manages and administers all “Corporate Domain Client Software” provided for use on the Project.
- For the purposes of this Schedule SP3, “Project Domain Client Software” is Client Software which can be configured by the *Consultant* as part of the *service* (as set out in Table SP3A) and “Corporate Domain Client Software” is Client Software which is controlled by CIP or by the *Client*’s information technology team (as set out in Tables SP3B and SP3C).
- SP3-03 The *Consultant*, on behalf of the *Client*, collaborates with the Project Contractors, Ancillary Contractors and Others where necessary to ensure that their use of the Client Software meets the relevant requirements as set out in the Scope.
- SP3-04 Within 10 working days of the *starting date* the *Service Manager* notifies the *Consultant* of the process to be followed in transferring the management, administration and operation of the Project internet domain and Microsoft 365 tenancy (and any data within it) from the Technical Partner to the *Consultant*, and provides the process to be followed for its undertaking.
- SP3-05 Within one week of the *Consultant* receiving the process to be followed pursuant to section SP3-04, the *Service Manager* instructs the Technical Partner to transfer the operation and management of the Project internet domain and Microsoft 365 tenancy to the *Consultant* in compliance with the process.
- SP3-06 Upon successful completion of the transfer of the operation and management of the Project internet domain and Microsoft 365 tenancy as set out in section SP3-05, the *Consultant* notifies the *Service Manager* that the transfer has been successful and commences its management, administration and operation of the Project internet domain and Microsoft 365 tenancy (and the data within it) on behalf of the *Client*.
- SP3-07 For Client Software provided by the *Client* that does not form part of the Microsoft 365 tenancy, the *Service Manager*, within 2 weeks of the *starting date*, provides the *Consultant* with the licences needed to use such Client Software. The *Service Manager* provides the *Consultant* with instructions on the process for requesting any additional Client Software licences should the *Consultant* require them.

- SP3-08      Within four weeks of the *starting date*, and for Client Software that does not form part of the Microsoft 365 tenancy, the *Service Manager* provides the *Consultant* with
- access to the relevant Client Software, including login details and the relevant user account creation processes,
  - user requirements or procedures for the operation of the relevant Client Software,
  - data contained within the Client Software that is required by the *Consultant* to Provide the Service,
  - the levels of administrative control granted to the *Consultant* by the *Client* for each Client Software application provided by the *Client*,
  - the relevant *Client* points of contact responsible for each Client Software application and who are assigned to support the *Consultant* in integrating or automating the processes between the Client Software and the IP Software,
  - the service levels for the Client Software (if any) and
  - training to a limited number of Staff (to be agreed by the Parties) on how to operate and administer the Client Software so they can, in turn, train the ICT staff, Project Contractors' staff and Ancillary Contractors' staff (where necessary).
- SP3-09      The *Consultant* notifies the *Service Manager* of its receipt of the Client Software no later than one week from the *Service Manager* granting access and the completion of the relevant Client Software training for the Staff.
- SP3-10      No later than eight weeks from the *starting date* the *Consultant* submits a Project Information Systems integration plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that
- it does not meet the requirements of this Schedule SP3 or
  - it does not allow the Project Information Systems requirements to be delivered in accordance with the contract, the Project Contractor Scopes or the Ancillary Contractor Scopes (as applicable)
- SP3-11      The Project Information Systems integration plan includes
- the *Consultant's* processes for operating and managing the Client Software in conjunction with the IP Software, and within the Project Information Systems, to Provide the Service,
  - proposals for any additional configuration beyond what is already provided in the Client Software to optimise its use by the *Consultant*, Project Contractors and Ancillary Contractors to ensure effective integration with the Project Information Systems,
  - proposals, where feasible, for any automation or direct interface between Client Software and IP Software to optimise the functionality of the Project Information Systems,

- a systems integration map that shows the totality of the Project Information Systems and the interface points within it between the Client Software and the IP Software and
  - a list of all Staff that are responsible for operating and managing the Client Software at the Project level, and within the Project Information Systems.
- SP3-12      The *Consultant* Provides the Service in accordance with the accepted Project Information Systems integration plan.
- SP3-13      The *Consultant* reviews the Project Information Systems integration plan prior to the start of each Review Stage and, at the start of each Review Stage, and makes recommendations for changes to the plan to deliver an efficient and flexible *service* and to achieve any efficiencies which it has identified. The *Consultant* provides a revised plan to the *Service Manager* for acceptance following the same process as set out in section SP3-10.
- SP3-14      If instructed by the *Service Manager* during a Review Stage, the *Consultant* promptly
- ceases to use any hardware, software (including the Client Software), process or system provided by the *Client* pursuant to this Schedule SP3 that is no longer required,
  - recommends and proposes updates and any associated testing to hardware, software (including the Client Software), process or system provided by the *Client* pursuant to Schedule SP3 to reflect the latest technological developments that may improve the usability or integrability of the Project Information Systems (including the Client Software) on future projects,
  - improves efficiencies in allocation of resource, cost or programme to the benefit of the *Client*,
  - reduces inefficiencies in allocation of resource, cost or programme that are identified through the operation of a function or process using Client Software,
  - documents and records any update, innovation or proposal resulting from a *Service Manager's* instruction and
  - ensures that any recommendation and proposal that is accepted by the *Service Manager* complies with the change management process.

Table SP3: SP3A Project Domain Client Software	
System	Description
Xactium	The <i>Client</i> provides Xactium as the risk management system to be used by the <i>Consultant</i> and the Project Contractors for risk and opportunity management.
Collaboration Software	The <i>Client</i> provides Microsoft 365.
Systems Service Management (Service Desk)	The <i>Client</i> provides Microsoft Dynamics 365.
Customer Relationship Management System (CRM)	The <i>Client</i> provides Microsoft Dynamics 365.
Management Information and Reporting System	The <i>Client</i> provides Microsoft Power BI , via Microsoft 365, as the Project reporting solution. The <i>Client</i> provides the reporting templates to be used for this system to the <i>Consultant</i> for their use.

Table SP3: SP3B Corporate Domain Client Software	
System	Description
Oracle Primavera P6	The <i>Client</i> provides Oracle Primavera P6 version XX or later
Management Information and Reporting System	The <i>Client</i> provides Chrysalis, via Microsoft 365, as the Project data warehousing solution.
Highways England Supply Chain Portal	An internet collaboration site for the <i>Client</i> and its partners
CEMAR (Contract Event Management Analytics and Reporting)	The <i>Client</i> provides CEMAR

**Table SP3: SP3B Corporate Domain Client Software**

<b>System</b>	<b>Description</b>
Accident Incident Reporting System (AIRSweb)	The <i>Client</i> provides AIRSweb
WebDAS	WebDAS provides service providers with an easy to use front end to Departures Approvals System (DAS) for submitting departures and searching past submissions. Database of departures from the <i>Client's</i> requirements and aspects not covered by requirements, including Specification for Highway Works (SHW) specification departures.
Highways Agency Logging Environment (HALOGEN)	HALOGEN is the central source for Highways Agency Traffic Management Systems (HATMS) logged data. It records setting, state change and fault information for signals, signs and emergency roadside telephones on England's motorway network.
Asset Visualisation and Information System (AVIS)	AVIS is a driven survey consisting of video cameras viewing multiple directions, with a simultaneous LiDAR survey. The LiDAR survey provides 3D point cloud data, accurate to 30mm - essentially a 3D model of the network. It provides an inventory of assets along with GIS files.

**Table SP3: SP3C Corporate Domain Client Software (Optional)**

<b>System</b>	<b>Description</b>
WebTRIS - Traffic Information System and WEB	<p>WebTRISHighways England's Traffic Information System.</p> <p>It provides historic speed and flow data for the past 10 years in 15 minute time slices at count slices across the Highways England network. Data is currently taken from Motorway Incident Detection and Automatic Signalling (MIDAS), Traffic Monitoring Units (TMU), Traffic Appraisal, Modelling and Economics (TAME) count sites and also from legacy TRADS (Traffic Flow Database System) sites for older data. This contains hourly count data from inductive loops at approximately 1000 locations across the <i>Client's</i> network</p>



**Table SP3: SP3C Corporate Domain Client Software (Optional)**

<b>System</b>	<b>Description</b>
Highways Agency Pavement Management System (HAPMS)	<p>HAPMS is a set of IT systems that hold the following data sets:</p> <ul style="list-style-type: none"><li>• Approved network master data set</li><li>• pavement inventory master data set</li><li>• pavement construction master data set</li><li>• pavement condition master data set</li><li>• inventory master data set</li><li>• traffic data</li><li>• accident data</li></ul> <p>HAPMS also provides the following business capabilities:</p> <ul style="list-style-type: none"><li>• Analysis and reporting of data both in map-based and textual formats</li><li>• integrated tools for the whole life cost optimisation, of proposed pavement maintenance schemes</li></ul>
Structures Management Information System (SMIS)	SMIS provides operational support to structures management throughout the lifecycle of the structure
Highways Agency Geotechnical Data Management System (HAGDMS)	Internet hosted and GIS based geotechnical inventory. Holds details of the Highways England geotechnical asset, together with geological maps, borehole details, and specialist reports.
Highways Agency Drainage Data Management System (HADDMS)	Shares the facilities developed for HAGDMS and exists on the same platform. This provides integrated geotechnical/drainage information.
Lean Tracker System	A system used to capture and track lean benefits.
Scheme Appraisal Report (SAR)	Allows appraisal details of Local Network Management Schemes to be submitted to the <i>Client</i> .
National Faults Database (NFDB)	Database for manual entry of faults and issues relating to Highways Agency Traffic Management Systems (HATMS) and other operational systems.

**Table SP3: SP3C Corporate Domain Client Software (Optional)**

<b>System</b>	<b>Description</b>
Cultural Heritage Database	Part of HAGIS. Database of Cultural Heritage items.
Technology Performance Management Services (TPMS)	<p>TPMS is a set of IT systems to support the maintenance and management tasks for control and communications equipment. Currently provides the following functionality:</p> <ul style="list-style-type: none"> <li>• Technology Fault Management.</li> <li>• Technology Planned Maintenance recording.</li> <li>• Technology Asset Status recording (including for instance results of electrical testing).</li> <li>• Recording of asbestos risk in Technology equipment.</li> <li>• Recording the connection of Technology equipment via unmetered power supplies for payment for energy used by Technology.</li> <li>• Calculation of performance statistics on Technology equipment.</li> </ul> <p>Provision of data on <i>Consultant</i> performance to allow effective Performance Management.</p>
Highways Agency Environmental Information System (HA) EnvIS	EnvIS consists of specific environmental data supplied by <i>Consultants</i> , the HA and other bodies which is collated and displayed in a read only format in the Highways Agency Geographical Information System (HAGIS). This data is used to assist in managing the environment, within and surrounding the trunk road network, and in the review and reporting of the environmental performance of both <i>Consultants</i> and the <i>Client</i> .
Collaborative Management Toolkit (CMT)	<p>Methodology and tool used to measure and report on <i>Consultant's</i> performance.</p> <p>Relates to the Asset Led Delivery Management (ALDM) contract types. The CMT allows for the production of the Motivating Success Toolkit scores.</p>
Oracle Financial Accounting System	The <i>Client</i> provides Oracle as the main financial and accounting system.
Prism	The <i>Client</i> provides Prism as the project cost management system which interfaces with Oracle.

## Schedule SP4: Connectivity

- SP4-01 The *Consultant* provides internet connectivity to the Project Information Systems in all ICT Locations.
- SP4-02 The *Consultant* ensures that all internet connectivity provided by it is made available by Wi-Fi and through a cable connection (LAN cable).
- SP4-03 Unless otherwise instructed by the *Service Manager*, the *Consultant* ensures that the components of the Project Information System which it provides are cloud based to the extent technically feasible (i.e. available on demand via the internet from a system provider's externally located servers) In Providing the Service, the *Consultant* only uses cloud service providers who deliver their services using servers based in the United Kingdom.
- SP4-04 In Providing the Service, the *Consultant* ensures that segregation configuration methods are employed to mitigate the risks of cyber-attack, data breach and to enable flexibility in being able to provide specific network or systems access based on user group or geographic location. These segregation configuration methods include
- firewalls and web-filtering,
  - Wi-Fi service set identifiers,
  - VLAN segregation and
  - demilitarized zone provisions (where required).
- SP4-05 Within 2 weeks of the *starting date*, the *Service Manager* confirms with the *Consultant*
- all ICT Locations
  - the projected number of total Project Information Systems users across all Project site offices and compounds and those accessing the Project Information Systems from remote locations and
  - the projected number of Project Information Systems users by Project site office and compound and ICT Location and those accessing the Project Information Systems from remote locations.
- SP4-06 No later than 4 weeks after receiving the list of ICT Locations from the *Service Manager*, the *Consultant* conducts a Site Connectivity Survey at each of the ICT Locations to assess the requirements for implementing Wi-Fi and cable connection to the internet.
- SP4-07 No later than 4 weeks after conducting the Site Connectivity Survey for each ICT Location, the *Consultant* submits to the *Service Manager* a Connectivity Plan for acceptance. The Connectivity Plan includes
- an inventory for each ICT Location of all equipment required to provide the internet connection as defined in the Scope
  - processes for implementing, managing and maintaining the internet connection in the ICT Location in compliance with the Scope

- proposals for resilient and redundant connections in the event of a primary circuit failure
  - the *Consultant's* roles and responsibilities in providing the internet connection and
  - the *Consultant's* proposed level of service and support in maintaining the internet connection.
- SP4-08 A reason for not accepting the Connectivity Plan is that:
- it does not meet the requirements of this Schedule SP4 or
  - it would not allow the *Consultant* to Provide the Service in accordance with the contract.
- SP4-09 The *Consultant* Provides the Service in accordance with the accepted Connectivity Plan.
- SP4-10 If the *Consultant*, through the internet connection at the ICT Locations, provides access for its Staff to its own systems (i.e. systems not forming part of the Project Information Systems (including the IP Software listed in Schedule SP2 (Items to be provided by the *Consultant*)) for *Consultant* business or activities not related to the Project), it does so through a virtual private network at no cost to the *Client*.
- SP4-11 The *Consultant* procures that all individuals, before being provided access to the Project Information Systems, agree to and sign the 'HE IT Acceptable Usage Policy' set out in **Annex 02**. The *Consultant* procures that all individuals comply with the policy at all times when accessing the Project Information Systems.
- SP4-12 The *Consultant* records all signatories to the "HE IT Acceptable Usage Policy", securely stores the signed copies of the policy and provides this information to the *Service Manager* upon request.
- SP4-13 The *Consultant* implements and operates network filtering and content sanitation measures in order to ensure that all individuals accessing the Project Information Systems comply with the "HE IT Acceptable Usage Policy".
- SP4-14 The *Consultant* monitors user internet activity on the Project Information Systems to ensure that the network filtering and content sanitation measures are aligned with the requirements of the "HE IT Acceptable Usage Policy".
- SP4-015 The *Consultant* promptly (and in any event within 24 hours) provides the *Service Manager* with any monitoring data that demonstrates any non-compliance to the "HE IT Acceptable Usage Policy" by any person and takes appropriate measures immediately to rectify the non-compliance.
- SP4-0016 The *Consultant* develops a draft BCP which details the processes and arrangements which the *Consultant* follows to ensure continuity of the service, and the *Consultant's* business processes and operations on which the service depends, following any Business Interruption Event. The *Service Manager* provides a template BCP for guidance (see link in **Annex 02**). The BCP complies with all of the requirements of the Scope and

- ISO 22301:2019 (see link in **Annex 02**),
  - 2011: ISO/IEC 27031 - Security techniques - Guidelines for information and communication technology readiness for business continuity (see link in **Annex 02**),
  - best industry practice and
  - the provisions of section S502.
- SP4-17 The *Consultant* submits the draft BCP to the *Service Manager* for acceptance during the Mobilisation Phase.
- SP4-18 A reason for not accepting the BCP is that
- it does not comply with the requirements of section S502 or this Schedule SP4,
  - it does not contain the information required by this Schedule SP4,
  - it is not in the format required by the Scope or
  - it would not allow the *Consultant* to Provide the Service in accordance with the contract.
- SP4-19 If the *Service Manager* does not accept the draft BCP, the *Consultant* amends the draft BCP to address the *Service Manager's* comments and resubmits the amended BCP for acceptance within one week of receipt of the initial notice of rejection.
- SP4-20 In the event of a Business Interruption Event, the *Consultant* invokes the BCP in accordance with this Schedule SP4. If the declared Business Interruption Event interrupts the *Consultant* in Providing the Service during the period in which the BCP is being developed, the *Consultant* will provide business continuity services in accordance with the standards identified in section SP4-16 and any other applicable business continuity or disaster recovery plans of the *Client* then in force.
- SP4-21 The *Consultant* undertakes a BCP test event to test the BCP every six months. The *Consultant* agrees with the *Service Manager* the test scenario prior to the BCP test. Following the BCP test, the *Consultant* prepares a feedback report with any proposed amendments to the BCP and submits the report to the *Service Manager* within ten working days of the test for acceptance. A reason for not accepting the proposed amendments is that the *Service Manager* considers that the proposed amendments do not resolve the issues raised by the BCP test.
- SP4-22 The *Consultant* implements any proposed amendments in the accepted feedback report instructed by the *Service Manager*.
- SP4-23 The *Consultant* undertakes the completion of a "Highways England business continuity self-assessment assurance document" (see link in **Annex 02**) and provides supporting evidence as to the business continuity processes/procedures in place based on the self-assessment. The *Client* may undertake an audit of compliance with these requirements.

SP4-24     The *Consultant* includes within the BCP

- the outline of the systems and business processes required to ensure continuity of the *service* including prioritisation of such systems and business processes,
- a cycle of six monthly reviews of the BCP by the Parties until Completion,
- key business areas and processes of the Project Systems,
- critical functions within the Project Systems,
- dependencies between business areas, processes and systems functions,
- key risks to business continuity of the Project Systems,
- a resiliency assessment of the Project Systems and their individual components,
- a resiliency assessment of network connectivity at each ICT Location managed by the *Consultant*,
- provisions for continued network connectivity through alternative points of presence and alternative methods, or locations, of systems access for end users,
- MTPoD for the Project Systems,
- recovery point objectives for maximum tolerable data loss for the for the Project Systems,
- recovery time objectives for the Project Systems,
- lists of alternative suppliers and equipment sources for items required to Provide the Service,
- data backup and backup site locations (both geographic and virtual),
- key people identified by the *Consultant* as required to implement the BCP should it come into effect,
- emergency responders contact information,
- existing service and systems provider contact information,
- data backup site providers contact information and
- an approach to disaster simulation and a proposed cycle of resiliency testing until Completion.

SP4-25     Invoking the BCP

- The *Consultant* notifies the *Client* immediately upon becoming aware that a Business Interruption Event has occurred or is reasonably likely to occur. The *Client* may require the *Consultant* to invoke the BCP if the *Client* becomes aware that a Business Interruption Event has occurred or is reasonably likely to occur, whether notified by the *Consultant* or not.
- If a Business Interruption Event occurs or is reasonably likely to occur, each Party promptly assesses the situation and agrees whether the BCP is to be invoked.

- If the Parties are unable to agree, then the *Client's* decision as to whether a Business Interruption Event has occurred or is reasonably likely to occur and whether or not the BCP is to be invoked is final and the *Consultant* immediately follows the *Client's* directions.
- If, due to the nature of the Business Interruption Event, it is impracticable or impossible for the *Consultant* to obtain the *Client's* approval before invoking the BCP (including where such approval would cause a delay in the invocation of the BCP that could pose a threat to the *Client* or its business), the *Consultant* invokes the BCP without the *Client's* approval provided that the *Consultant*
  - notifies the *Client* of the invocation as soon as possible,
  - involves the *Client* in all key decisions concerning the subsequent application of the BCP and the restoration of the *service*, and
  - keeps the *Client* informed at all times of the progress and application of the BCP.

## Schedule SP5: Local Area Network (LAN)

- SP5-01      The Consultant provides a LAN backbone with a minimum speed of 10GB/s  
The Consultant provides a LAN backbone to workstation with a minimum speed of 100MB/s
- SP5-02      Within 2 weeks of the *Consultant's* implementation of the accepted Connectivity Plan, the *Consultant* submits a LAN Plan to the *Service Manager* for acceptance for each ICT Location. The LAN Plans include
- a list of all hardware to be used to provide the LAN solution (including unshielded twisted pair data cabling to a minimum category 6 standard),
  - floor plans showing access points and power sources,
  - duct and cabling schematics showing connections to and from communications rooms or cabinets and
  - any other technical requirements to be included in the LAN Plan.
- SP5-03      A reason for not accepting a LAN Plan is that
- it does not comply with the requirements defined in this Schedule SP5 or
  - it does not allow the *Consultant* to Provide the Service in accordance with the contract.
- SP5-04      Upon acceptance of a LAN Plan by the *Service Manager*, the *Consultant* installs and tests the LAN solution and notifies the *Service Manager* once the installation and testing is successfully completed and the LAN solution is operational.
- SP5-05      Until Completion, the *Consultant* ensures that the LAN solution and the cabling and hardware employed in connection with the operation of the LAN solution are
- managed, administered, and operated by the *Consultant*,
  - tested regularly to ensure optimal performance and that the network speed can be consistently maintained and
  - inspected regularly to ensure that any faulty item requiring replacement is done so without delay and in a manner that does not inhibit or diminish the *Consultant's* ability to Provide the Service.
- SP5-06      At the start of each Review Stage, the *Consultant* proposes to the *Service Manager* upgrades to the LAN solution which are in keeping with technological developments and which demonstrate an improvement in network connectivity. The *Consultant* only upgrades the LAN solution if instructed to do so by the *Service Manager*.



## Schedule SP6: LAN Switching

- SP6-01     The *Consultant* utilises power over ethernet switching in its LAN solution capable of quality of service and provides power to end point devices such as
- IP telephones,
  - laptop computers,
  - desktop computers,
  - office digital signage,
  - video conferencing equipment,
  - Wi-Fi access points and
  - printers.
- SP6-02     The *Consultant* stacks switches to ensure the required capacity that meets or exceeds 100mbps is provided and ensures the provision of a minimum of one (1) switch port per data outlet.

## Schedule SP7: Wide Area Network (WAN)

- SP7-01 In order to enable an ICT Location to have an agnostic connection to another ICT Location, the *Consultant* ensures that all network communications links are provisioned using fibre optic connections that have scalable bandwidth capability.
- SP7-02 The specifications listed in section SP7-01 are provided within 2 weeks of the accepted LAN Plan. The *Consultant* delivers these specifications in a scalable manner to accommodate the resource requirements for Providing the Service in accordance with Task Orders, and provides a programme for upgrade to the *Service Manager* for acceptance. A reason for not accepting the network communications links is that
- they cannot be scaled to meet the necessary resource requirements,
  - they do not allow the *Consultant* to Provide the Service in accordance with the contract or
  - they do not otherwise comply with the contract.
- SP7-03 The *Consultant* ensures all WAN connections that it provides for access to the Project Systems meet the requirements of the Scope.

## Schedule SP8: Communications Rooms

- SP8-01 The *Consultant* provides at each ICT Location a dedicated communications room or, where a dedicated room is not possible due to insufficient floor space, the *Consultant* provides dedicated cabinet space as an alternative.
- SP8-02 The *Consultant* ensures that the communications rooms contain either half cabinets or full cabinets and are scalable in capacity to accommodate
- an increase or decrease in network traffic or
  - an increase or decrease in the number of users or other peripherals.
- SP8-03 The *Consultant* ensures that the communications rooms are a minimum of 2.8m wide, 2.4m high and 3.6m long, increasing in length by 0.8m per additional cabinet (in accordance with the LAN Plan).
- SP8-04 In large or difficult to reach ICT Locations (as identified in a LAN Plan), the *Consultant* provides satellite rooms to accommodate extended LAN cabling lengths where required.
- SP8-05 The *Consultant* ensures that the satellite rooms contain only switching cabinets and are a minimum of 2.8m wide and 2.8m long, increasing in length by 0.8m per additional cabinet (in accordance with the LAN Plan).
- SP8-06 The *Consultant* provides within each communications room or cabinet space the following
- a dedicated and adequate power supply,
  - planned storage and management of cabling to comply with any HSE obligations (as may be notified by the *Client* to the *Consultant* from time to time),
  - an uninterruptable power supply system to mitigate the impact of power failures and outages on the service and
  - a dedicated cooling system determined by the quantity and role of the cabinet(s) installed.
- SP8-07 The *Consultant* controls physical access to the communications rooms, cabinets and satellite rooms by lock and key or through electronic access control.
- SP8-08 The *Consultant* does not use the communications rooms, cabinets and satellite rooms for any purpose other than those permitted by the Scope.

## Schedule SP9: Wi-Fi Network

- SP9-01      The *Consultant* provides and maintains Wi-Fi access to the Project Information Systems across and at each ICT Location.
- SP9-02      The *Consultant's* Wi-Fi solution provides secure and robust wireless network connection services to all ICT resources and guest users.
- SP9-03      In providing the Wi-Fi solution, the *Consultant* includes wireless access points and ensures that such wireless access points are associated to a controller device for adequate policy security and governance.
- SP9-04      The *Consultant* employs separation techniques to mitigate device to device infection.
- SP9-05      The *Consultant* provides, for all ICT Locations, the same design to the Wi-Fi solution's network architecture to ensure full connectivity between the ICT Locations.
- SP9-06      The *Consultant* provides, as a minimum, with the capability to increase should it be required by the *Client*, a wireless network designed for a three storey modular office building with a 4475m2 gross internal area and 300 workstations.
- SP9-07      The *Consultant* ensures that coverage meets or exceeds the requirements set out in the Scope at each of the locations it is required to provide a Wi-Fi solution.
- SP9-08      Where increased use of the Wi-Fi network or high network traffic is anticipated by the *Consultant*, the *Consultant* increases the Wi-Fi access points to accommodate this increased usage.

## Schedule SP10: Telephony

- SP10-01 The *Consultant* provides all wireless and fixed connection telephony services for the ICT Locations until Completion and does so in compliance with 'Highways England's IT telephony strategy' (see link in **Annex 02**).
- SP10-02 The *Consultant* ensures that all ICT resources use Microsoft Teams as the default application for all telephone communications and virtual meetings made on behalf of the ICT.
- SP10-03 At each ICT Location, the *Consultant* provides a minimum of three (3) telephone lines, and enough telephone devices to meet the requirements of the Scope.
- SP10-04 The *Consultant* ensures that the devices are connected to the fixed telephone network to accommodate
- outgoing emergency calls in the event of a mobile or wireless network outage or failure,
  - contact from Others who do not have the ability to communicate through other means and
  - telephone conferencing capabilities to mitigate mobile or wireless network outages and any potential service failures of the default telephone communication application.

## Schedule SP11: Mobile telephony

- SP11-01 As a minimum, the *Consultant* ensures that all ICT Locations have adequate and consistent 4G mobile network coverage of at least 0 - 50dBm representing excellent signal strength.
- SP11-02 At all ICT Locations where the network provider cannot supply adequate or consistent 4G mobile network coverage, the *Consultant* mitigates this by employing measures to amplify any existing signal to the minimum coverage level set out in the Scope.
- SP11-03 The *Consultant* provides any tools or hardware required to meet its obligations as defined in this Schedule SP11.
- SP11-04 In line with the BYOCD approach described in Schedule SP2 (Items to be Provided by the *Consultant*), the *Consultant* provides from the *starting date* a 5G enabled smartphone device to each member of the its Staff.
- SP11-05 Where technically possible, the *Consultant* ensures that the smartphone devices issued to its staff and each of the Key Persons for use in Providing the Service enables access to IP Software and Client Software applications irrespective of location.
- SP11-06 The *Consultant* links the smartphone devices to a centrally administered Microsoft 365 inTune mobile device management application that
- provides remote device inventory and tracking,
  - enforces data encryption,
  - provides application whitelisting and blacklisting,
  - remotely wipes device data if required, and
  - enforces password functionality.
- SP11-07 The *Consultant* administers, operates and manages the mobile device management application and ensures it is kept updated and replaced when necessary.
- SP11-08 The *Consultant* updates or replaces the smartphone devices when necessary and ensures that any relevant Project Information Systems applications are securely installed on them.
- SP11-09 The *Consultant* ensures that in instances of mobile network failure, other means of electronic communication can be implemented to mitigate any loss of network connectivity so as to ensure the provision of calls to emergency services.

## Schedule SP12: Printing

- SP12-01 The *Consultant* provides a managed print solution for users, including *Client* staff at the ICT Locations undertaking Project activities, who have access to the Project Information Systems.
- SP12-02 The *Consultant* ensures that the managed print solution
- is supported by the *Consultant's* Staff as defined in Schedule SP19 (Systems Service Management),
  - is easily administrable with minimal resource,
  - tracks printing costs through user authentication,
  - consolidates multiple printer queues,
  - keeps the number of print servers and their associated maintenance as low as is feasible to conserve network bandwidth,
  - employs control measures to reduce print waste and keep paper and toner usage to a minimum,
  - provides a consolidated and standardised printer fleet that includes large format printing functions to a minimum size of ISO A1 and
  - tracks set-up and operational costs to ensure that the *Consultant* controls them.
- SP12-03 In order to encourage all persons engaged on the Project to reduce costs and ensure a low carbon footprint across the ICT Locations, the *Client* provides the *Consultant* with branded signage to display inside the office work areas within the ICT Locations, and in particular, the printing areas.

## Schedule SP13: Email and Calendaring

- SP13-01 The *Consultant* manages and administers, on behalf of the *Client*, the tenancy of Microsoft 365 as defined in Schedule SP3 (Client Software), and in doing so provides the email and calendaring solution for the Project Information Systems.
- SP13-02 The *Consultant* uses Microsoft Outlook as the default interface for email and calendaring and is the default interface on all ICT EUC devices.
- SP13-03 The *Consultant* administers the email and calendaring solution for the Project Information Systems using Microsoft Exchange Online.
- SP13-04 The *Consultant* ensures that the email and calendaring solution provides
- a mailbox for each user inclusive of calendaring service,
  - ability to create, implement and deploy calendar sharing across all ICT resources,
  - ability to create, implement and deploy shared mailboxes,
  - malware, spam and virus protection,
  - access to email via the web,
  - access via compatible smartphone devices as defined in Schedule SP11 (Mobile Telephony),
  - journaling of email,
  - creation, migration and management of a project global address list based on Joiners, Movers and Leavers (JML) as defined in Schedule SP19 (Systems Service Management),
  - ability to use and create SMTP connectors,
  - ability to use an SMTP relay service,
  - In-Place Archiving and
  - integration with the ICT default instant messaging and telephony application as defined in Schedule SP10 (Telephony).
- SP13-05 As described in Schedule SP4 (Connectivity), the *Consultant* ensures that all ICT email use is subject to HE IT Acceptable Usage Policy.
- SP13-06 During the Mobilisation Phase, the Parties develop an email data plan that details the measures the *Consultant* takes to demobilise and transfer Project email data to the *Client* on Completion.



## Schedule SP15: Document Management and Control Systems

SP15-01 The *Consultant*, on behalf of the *Client*, provides document management and control as part of the Project Information Systems which includes

- an assessment of the document and records management approach used by the Technical Partner prior to the *starting date*, the purpose of such assessment being to inform the improvement of the document and records management approach and alignment with the *Consultant's* obligations under the contract,
- management and secure storage of Project-related documents created by the ICT or provided by the *Client*, Project Contractors, Ancillary Contractors or Others to the *Consultant* under the contract,
- the CDE for transmission of Project data between the ICT, Project Contractors, Ancillary Contractors, Others and the *Client*, as described within Schedule SP1 (General Systems Requirements),
- a document management execution plan ("DMEP"),
- management and ongoing development of the Project document numbering and revisioning standard,
- the deployment of IP Software for the purposes of providing an Electronic Document Management System (EDMS), which includes control, configuration and administration of user access and systems metadata,
- all document storage, assurance and transmission processes and procedures,
- implementation, control and maintenance of the EDMS interfaces with other parts of the Project Information Systems, including the IP Software or Client Software (and any associated hardware, software, process or system),
- automation, where possible, of any relevant processes, protocols or interfaces with IP Software or Client Software (and any associated hardware, software, process or system),
- guidance and training on the use of the EDMS and document management compliance for all ICT resource and
- improvement and innovation of document management and control, within the constraints of the Scope to optimise the function and improve *Client* capabilities for future projects.

SP15-02 The *Service Manager* gives access to the *Consultant* of any assured data accrued before the Contract Date in order to

- enable the *Consultant* to retain it within the EDMS to Provide the Service and
- plan and implement the approach for data migration to the hardware, software, process or system provided by the *Consultant* (including the IP Software) as listed in Schedule SP2 (Items to be Provided by the *Consultant*).

- SP15-03 The *Consultant* refers to the following documents (see links in **Annex 02**) for guidance in its development of the DMEP
- “Major Projects Document Management Manual”,
  - “Highways England Company Records Policy”,
  - “Project Document Management Execution Plan”,
  - “Project Document Numbering and Revisioning Standard”,
  - “Project Document Numbering Tables” and
  - “Project EDMS User Guide”.
- SP15-04 As stated in Schedule SP2 (Items to be Provided by the *Consultant*), the *Consultant* provides Business Collaborator version 7.3.2 or later as the primary EDMS for the ICT, and also as an EDMS component of the CDE for transmission of data as defined in Schedule SP1 (General Systems Requirements) and Schedule SP8 (Communications Rooms).
- SP15-05 The *Consultant* ensures that it puts in place an efficient and robust approach for integrating the applications it uses for producing documents, and the primary document and records management system for the ICT and CDE.
- SP15-06 Where the *Consultant* engages in data transmissions with the Project Contractors, Ancillary Contractors and Others through the CDE, the *Consultant* provides them with controlled access to the EDMS.
- SP15-07 The *Consultant* ensures that any Project Contractor, Ancillary Contractor or Other’s access to the EDMS
- is always controlled and managed by the *Consultant*,
  - can be withdrawn at any time if the *Consultant* is instructed to do so by the *Service Manager*,
  - is configured by the *Consultant* to be securely and robustly partitioned so that each entity comprised in each of the Project Contractors, the Ancillary Contractors and the members of the ICT has its access confined to a specific area and the data that the relevant entity has stored and transmitted through the EDMS,
  - meets the information security requirements set out in section 2 of **Annex 09**,
  - provides Project Contractors, Ancillary Contractors and Others with all the required functionality to meet their obligations to the *Client* for transmission of data as set out in the Project Contractor Scopes and Ancillary Contractor Scopes,
  - requires the Project Contractors, Ancillary Contractors and Others to follow a mandatory data transmission process (provided by the *Consultant*) to the ICT that is communicated to the Project Contractors, Ancillary Contractors and Others and
  - is done so by users who have been trained by the *Consultant* on how to use the EDMS.

SP15-08 The *Consultant* develops a DMEP for the Project and submits the plan to the *Service Manager* for acceptance. The *Consultant* develops the plan in accordance with the requirements set out in this Schedule SP15. A reason for not accepting the plan is that

- it does not meet the requirements set out in the Scope,
- it does not meet the requirements of the Project Contractor Scopes or Ancillary Contractor Scopes or
- it does not include the matters set out in sections SP15-07 and SP15-09.

SP15-09 The *Consultant* ensures that the DMEP includes

- an assessment of the electronic document management systems used by the *Client* before the Contract Date with reference to
  - the configuration and suitability of any hardware, software, process or system provided by the *Consultant* as set out in Schedule SP2 (Items to be Provided by the *Consultant*) (including the IP Software) for delivering the requirements set out in the Scope,
  - the feasibility of the existing Project data to be migrated and integrated with other parts the Project Information Systems in accordance with Schedule SP2 (Items to be Provided by the *Consultant*) and Schedule SP3 (Client Software) and
  - sharing access to the EDMS as part of the *Consultant's* obligation to provide the CDE as described in the Scope,
- the *Consultant's* approach to document management and control for the Project including all proposed conventions, processes and protocols it considers applicable to its implementation,
- alignment with the documents referenced within this Schedule SP15 and compliance with them where required,
- reference to any additional documents produced by the *Consultant* that the *Service Manager* should consider when reviewing the DMEP,
- the ICT resource roles and responsibilities in relation to the DMEP including lines of support and accountability,
- classification of all metadata required for the cataloguing and storage of documents on the EDMS,
- security classification of documents,
- proposed ICT document templates,
- proposed approach to reporting (document register, transmittal register, "Requests for Information (RFI)" register, etc.),
- compliance with BS1192 and PAS19650 (see links in **Annex 02**),
- approach to systems training and compliance of staff regarding good document management and control practice,

- a process on how the *Consultant* provides and maintains partitioned access to Project Contractors, Ancillary Contractors and Others that meets the requirements set out in this Schedule SP15,
- the processes for transmitting, integrating, managing and extracting Project data that is provided by any Project Contractor, Ancillary Contractor or Others into the EDMS partitions,
- a set of visual workflows for all processes proposed within the DMEP and
- an interface map that shows the proposed connection points of the EDMS to other elements of the Project Information Systems that
  - depicts the connection points and the requirement for them to be connected,
  - the levels of automation possible at those connection points between any IP Software and Client Software and
  - the time and resource required to establish the interface, any associated automation and the maintenance of it for as long as it is required to Provide the Service.

SP15-10 The *Consultant* Provides the Service in accordance with the accepted DMEP and implements the DMEP across the Project.

SP15-11 The *Consultant* reviews the DMEP prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to it to deliver an efficient and flexible service, mitigate any systems obsolescence that may arise, or to accommodate any technological advancements that may benefit the *Client* in the capabilities and capacity needed for the subsequent Delivery Phases. The *Consultant* provides a revised DMEP plan to the *Service Manager* for acceptance following the same process as set out in section SP15-08.

SP15-12 On Completion, the *Consultant* ensures that all documents and records accrued within the ICT System are handed back to the *Client* as defined in section S560.

## Schedule SP16: Customer Relationship Management (CRM) System

- SP16-01 The *Client* provides Microsoft Dynamics 365 as the Client Software deployed in providing the CRM System to the *Consultant* inclusive of all data within it that is required to Provide the Service.
- SP16-02 The *Consultant*, on behalf of the *Client*, operates the CRM System as part of the Project Information Systems and
- manages user licensing requirements for ICT resources requiring access to the CRM System,
  - manages, configures, and administers user access for all CRM System functions within the ICT,
  - controls, manages and maintains the integrity of all data provided by the *Client* that is contained within the CRM System, and all newly inputted data into the CRM System under the contract,
  - provides training to ICT resources on the CRM System's use,
  - manages any existing data input processes and protocols and, where required, refines, or replaces them to improve the CRM System's operability,
  - integrates the CRM System's functions with other Project Information Systems, where possible and to the benefit of the *Client*, and ensures the ongoing control, maintenance and functionality of the interface between IP Software and Client Software (including any ancillary hardware, process, or systems provided by the *Consultant* or the *Client*), where required,
  - maximises efficiencies in programme and resource by automating, where possible, any processes, protocols and interfaces required with other IP Software or Client Software (including any ancillary hardware, process, or systems provided by the *Consultant* or the *Client*) and
  - seeks improvement and innovation to the functions of the CRM System, within the constraints of the Scope, to optimise its use and improve *Client* capabilities for future projects.
- SP16-03 The *Consultant* migrates any existing data sets within the Project CRM System to other parts of the Project System in order to Provide the Service.
- SP16-04 The *Consultant* also operates the CRM System to perform functions that include the data capture and records management of stakeholder engagement and communications (as described in Schedule CS2 (Items to be Provided by the *Consultant*)).
- SP16-05 In instances where the *Consultant* is to receive Project data from Project Contractors, Ancillary Contractors or Others that is to be stored within the CRM System, the *Consultant* provides the relevant Project Contractor, Ancillary Contractor or Others with controlled access to the Project CRM System in order for it to input data as defined by requirements in the Project Contract Scopes and Ancillary Contract Scopes.

SP16-06 The *Consultant* ensures that any Project Contractor, Ancillary Contractor or Other's access to the CRM System

- is always controlled and managed by the *Consultant*,
- can be withdrawn at any time (for example if the *Consultant* is instructed to do so by the *Service Manager* or in instances such as a data breach),
- is configured by the *Consultant* to be securely and robustly partitioned so that each Project Contractor, Ancillary Contractor or Other has their access confined to a specific area(s) and data views of the CRM System that require their inputs,
- meets the information security requirements of the Scope (see section 2 of **Annex 09**),
- provides Project Contractors, Ancillary Contractors and Others with all the required functionality to meet its obligations to the *Client* under the Project Contract Scope for inputting data,
- obliges Project Contractors, Ancillary Contractors and Others to follow a mandatory data input process that is communicated and provided by the *Consultant* and
- is done so by users who have been trained by the *Consultant* on how to use the CRM System.

SP16-07 The *Consultant* develops a CRM System plan for the Project and submits such plan to the *Service Manager* for acceptance. The *Consultant* develops the plan in accordance with the requirements set out for the CRM System's use as described in Schedule CS2 (Communications and Stakeholder Management), Schedule PS3 (Consents Management and Discharge), this Schedule SP16 and **Annex 09**. A reason for not accepting the plan is that

- it does not meet the Scope requirements stated or
- it does not meet the requirements of the Project Contract Scopes or Ancillary Contract Scopes

SP16-08 The *Consultant* ensures that the CRM System plan includes

- a review of the current CRM System provided by the *Service Manager* to the *Consultant* with reference to the current CRM System's existing configuration and suitability for meeting the requirements set out in this Schedule SP16, Schedule CS2 (Communications and Stakeholder Management) and Schedule SP3 (Client Software),
- a resourced schedule of activities, included within the Mobilisation Plan to develop the CRM System to enable it to meet the requirements of the Scope,
- a process for the *Consultant* to provide and maintain partitioned system access which meets the requirements set out in section SP16-06,
- the processes for receiving, integrating, managing and extracting Project data that is both inputted by the Project Contractors, Ancillary Contractors and Others into CRM System partitions,

- an interface map that shows the proposed connection points of the CRM system to other elements of the Project Information Systems that
  - depicts the connection points between the CRM System and IP Software and the requirement for them to be connected,
  - the levels of automation possible at those connection points between the CRM System and IP Software (including any ancillary hardware, process, or systems provided by the *Consultant*) and
  - the time and resource required to establish the interface, any associated automation and maintain it for as long as it is required to Provide the Service and
- proposed workflows for all processes contained within the CRM System plan

SP16-09 The *Consultant* implements and Provides the Service in accordance with the accepted CRM System plan.

SP16-10 The *Consultant* reviews the CRM System plan prior to the start of each Review Stage and, at the start of each of each Review Stage, makes recommendations for changes to it to deliver an efficient and flexible service, mitigate any systems obsolescence that may arise, or to accommodate any technological advancements that may benefit the *Client* in the capabilities and capacity needed for the subsequent Delivery Phases. The *Consultant* provides a revised CRM System plan to the *Service Manager* for acceptance following the same process set out in section SP16-07.

SP16-11 On Completion, the *Consultant* ensures that all data accrued within the CRM System is handed back to the *Client*.

## Schedule SP18: User and System Account Management

SP18-01 For all IP Software and Client Software used in the Project Information Systems, unless instructed otherwise by the *Service Manager*, the *Consultant* undertakes the administration and management of

- account types
  - user accounts,
  - service accounts,
  - domain administration accounts and
  - any other licensed software accounts
- the configuration of user roles and access control,
- a JML process that records the configuration of roles and access control assigned to each user that corresponds to each Client Software or IP Software application and complies with the '*Client's* personnel security procedures' in **Annex 04**,
- a process to ensure the recycling of Client Software and IP Software licenses relinquished by users leaving the Project or who no longer require access to a particular Client Software or IP Software application,
- any process deployed in collaboration with the *Client's* IT department to implement federation connections for Microsoft 365 between the Project and other *Client* tenants to enable *Client* employees, who are not part of the ICT, to access the Project tenancy without the need for issuing new Microsoft 365 licences and
- any process deployed in collaboration with the *Consultant*, Project Contractors, Ancillary Contractors or Others' IT departments to implement federation connections for Microsoft 365 between the Project and other tenants to enable their employees, who are not part of the ICT, to access the Project tenancy without the need for issuing new Microsoft 365 licences, subject to approval by the *Service Manager*.

SP18-02 No later than 45 working days after the *starting date*, the *Consultant* develops a user and system account management plan and submits it to the *Service Manager* for acceptance. The *Consultant* develops the plan in accordance with the requirements set out in this Schedule SP18. A reason for not accepting the plan is that it does not meet the requirements stated in this Schedule SP18.

SP18-03 The user and system account management plan includes

- a matrix of all Client Software and IP Software deployed within the Project Information Systems architecture that shows the level of administrative control held by the *Consultant* and the points of contact within the *Client* organisation where the *Consultant* may request configuration changes in instances where the *Client* retains administrative control of Client Software,
- processes and procedures for managing and administering user accounts,
- processes and procedures for configuring user roles and access control,



- processes and procedures for escalating administration configuration requests of user accounts for Client Software within the Project Information Systems not controlled by the *Consultant*,
- processes and procedures for implementing federation connections for Microsoft 365 between the Project tenancy and *Client*, Project Contractor, Ancillary Contractor or Others' Microsoft 365 tenancies,
- a JML process that records the configuration of roles and access control assigned to each user that corresponds to each Client Software or IP Software application and that is aligned with the requirements set out in Schedule CS5 (People and Organisational Management) and
- processes for the recycling and distribution of Client Software and IP Software licences relinquished by users leaving the Project or no longer requiring access to a specific Client Software or IP Software application.

SP18-04 The *Consultant* Provides the Service in accordance with the accepted user and system account management plan.

SP18-05 The *Consultant* reviews the user and system account management plan prior to the start of each Review Stage and, at the start of each of each Review Stage, makes recommendations for changes to the user and system account management plan to deliver a flexible and efficient service and to achieve any efficiencies which it has identified. The *Consultant* provides a revised user and system account management plan to the *Service Manager* for acceptance following the same process as set out in section SP18-02.

## Schedule SP19: Systems Service Management (Service Desk)

- SP19-01 Within 45 working days of the *starting date*, the *Consultant* builds and implements the service and support structure for the Project Information Systems and for Providing the Service until Completion.
- SP19-02 The service and support structure for the Project Information Systems includes
- dedicated staff resource for the requirements defined in SP19 at each ICT Location,
  - processes and procedures for supporting Project Information Systems “BAU” (which, for the purposes of this Schedule SP19 means normal execution of standard functional operations) within the Project Information Systems,
  - processes and procedures for the service and support of
    - all network equipment at ICT Locations,
    - internet connectivity at ICT Locations,
    - printing at ICT Locations,
    - LAN connections and hardware,
    - LAN switching,
    - the WAN,
    - the communications rooms ,
    - telephony and
    - mobile telephony for the *Consultant’s* Staff,
  - processes and procedures for service and support of the computer peripherals provided by the *Consultant* at ICT Locations,
  - processes and procedures for notifying the *Client* of any service and support the *Consultant* believes is necessary to be undertaken by the *Client* in respect of the Client Software,
  - processes and procedures for providing service and support to all users who access the Project Information Systems from remote locations (i.e. locations that are not the ICT Locations),
  - alignment with processes and procedures for supporting the operation of Project Information Systems in instances where the BCP, as defined by the requirements in Schedule SP4 (Connectivity), is implemented,
  - scalability that allows the resourcing of service and support for Project Information Systems to be expanded or reduced dependent on the *Client’s* requirements and the requirements of the relevant ICT Location,
  - an approach that ensures uniform service and support, wherever possible, is provided to all ICT resource and that extends, where required, to Project Contractors, Ancillary Contractors and Others in their use of Project Information Systems,

- defined service levels for each component of the Project Information Systems that covers both Client Software and IP Software that meet or exceed the 'CIP Sample Service Level KPIs' (see link in **Annex 02**),
- a managed service matrix or map that the *Consultant* provides to the *Service Manager* upon request depicting the points of service provided, the levels of service for each point, and the resource allocated to it that includes a developed RACI built on the 'BAU support RACI example' (see link in **Annex 02**),
- processes and procedures to implement and operate a management tool that regularly assesses performance of service and support activities for the Project Information Systems and records *Consultant* proposals for efficiencies and innovations to be reviewed by the *Service Manager* at Delivery Phases,
- a single point of contact for all users requiring Project Information Systems support,
- methods and procedures for users to contact the service and support function and
- methods and procedures for how support staff will provide support.

SP19-03 The *Consultant* uses Microsoft Dynamics 365, as provided by the *Client* as per Schedule SP3 (Client Software), for managing and recording service and support requests (or tickets) raised by users of the Project Information Systems.

SP19-04 The *Consultant* ensures that the ticketing functions it provides via Microsoft Dynamics 365 include

- processes, procedures and functions for first line management of ticket requests that covers
  - receiving ticket requests from users,
  - triaging ticket requests from users,
  - opening, monitoring, ranking, prioritising, resolving and closing tickets,
- a list of categories to organise tickets by including
  - ticket progression by data and time,
  - staff parent company,
  - type of issue raised,
  - hardware used,
  - software used,
  - escalation route taken,
  - ICT function the ticket originates from and
  - the support staff ID of who the ticket is assigned to and
- filterable ranking and tagging of tickets by category,
- recording and archiving of all tickets,

- keeping the user who submitted the ticket up to date on the progress of the ticket,
- assigning of tickets to support staff for assessment, resolution, escalation or closure,
- forwarding ticket data to Others for escalation if required (Third Party Software suppliers, etc.),
- forwarding ticket data to and collaborating with the *Client* in instances where a Project Information Systems user requires service and support of Client Software that is administered or controlled by the *Client*),
- dedicated ICT resource that is available to process and address the tickets raised during the following hours (excluding Bank Holidays)
  - Monday to Friday: 0800 to 1800 hrs and
  - weekends: where required to meet programme requirements,
- automation of the ticketing process wherever possible both within the workflows of Microsoft Dynamics 365 and with any interface it has with the Project Information Systems,
- a reporting function on all ticketing activity recorded within the ticket management system that can be extracted and is available to the *Service Manager* upon request and
- a proposed schedule of monthly service level agreement review and checkpoint meetings that communicate
  - IT ticket trend analysis,
  - tickets raised that have been escalated beyond the service level agreement and
  - outstanding ticket items and proposes actions to mitigate and address outstanding issues.

SP19-05 To optimise the ticket raising process and resource response times, and to promote self-empowerment, the *Consultant* provides, manages and keeps updated a Project Information Systems service and support database, available to all ICT resource as a self-service knowledge resource. The *Consultant* populates the database with details of how to resolve common issues that can be resolved by the user through the data presented in the database without the need to make a ticket request.

SP19-06 No later than 45 working days after the *starting date*, the *Consultant* develops a Project Information Systems service and support plan and submits it to the *Service Manager* for acceptance. The *Consultant* develops the Project Information Systems service and support plan in accordance with the requirements set out in sections SP19-02 and SP19-04. A reason for not accepting the plan is that it does not meet the requirements set out in sections SP19-02 and SP19-004.

SP19-07 The *Consultant* Provides the Service in accordance with the accepted plan.

SP19-08 The *Consultant* reviews the Project Information Systems service and support plan prior to the start of each Review Stage and, at the start of each of each

Review Stage, makes recommendations for changes to the Project Information Systems service and support plan to deliver a efficient and flexible service and to achieve any efficiencies which it has identified. The *Consultant* provides a revised Project Information Systems service and support plan to the *Service Manager* for acceptance following the same process as set out in section SP19-06.

- SP19-10 The *Consultant* ensures that any procurement of IT equipment, services, Systems or Software for use within the Project Information Systems complies with the *Client's* "Procurement Strategy" (see link in **Annex 02**).

## Schedule SP26: Digital Office Signage Solution

- SP26-01 The *Consultant* provides a digital office signage solution at the ICT Locations which includes
- wall mounted flat screens and their accompanying remote-control devices,
  - screen connection to
    - an intermediary EUC device, that is connected to the LAN, that controls digital content to the screen and
    - a power source
  - the ability to stream a broadcast feed or other content when instructed by the *Service Manager*,
  - the ability for individuals in the ICT to create and update content from a central location that can then be electronically transmitted to screens at ICT Locations and Project site offices and compounds through the internet and
  - the ability to customize the solution for each screen to enable content control suitable for the audience at any given location.
- SP26-02 The *Consultant* provides the digital signage solution for the purposes of communicating the following content
- the *Client's* corporate messages,
  - staff communications,
  - safety messages and alerts and
  - any other content as required by the ICT.
- SP26-03 The *Consultant* ensures that any equivalent digital office signage solution provided by the Project Contractor at Project site offices and compounds is fully compatible with the requirements of the Scope, and that the *Consultant* can electronically transmit content to Project Contractor screens with the same level of functionality as the *Consultant's* solution.
- SP26-04 The content communicated through the digital office signage solution is controlled and provided to the individuals within the ICT by the *Client* as defined in Schedule CS1 (Health, Safety, Security and Wellbeing).
- SP26-05 The *Consultant* provides the digital office signage solution screens in
- all guest or reception spaces used to receive visitors,
  - where practicable, in open plan spaces used for staff gatherings and office-wide presentations,
  - all staff recreational areas and
  - all areas which are accessible only with security passes
- ensuring that the data feeds for each type of signage are segregated to allow content management.

- SP26-06 The *Consultant* ensures that the screens are positioned so that clear visibility of them is possible for the highest number of people within the limits specified in section SP26-05.
- SP26-07 The *Consultant* provides screens that are proportionate in their dimensions to the size of the space they are accommodating, and as defined in section SP26-05, but are no smaller than 46 inches and no larger than 60 inches, unless agreed otherwise by the *Service Manager*.
- SP26-08 The *Consultant* ensures that the digital office signage solution is operational during the ICT Location's or Project site office and compound's business hours.
- SP26-09 The *Consultant* develops a digital office signage plan and submits the plan to the *Service Manager* for acceptance. The *Consultant* develops the plan in accordance with the requirements set out in this Schedule SP26. A reason for not accepting the plan is that it does not meet the requirements of this Schedule SP26.
- SP26-10 The digital office signage plan includes
- an inventory for each ICT Location of all equipment required to provide the digital office signage solution as defined in the Scope,
  - processes for implementing, managing and maintaining the digital office signage solution in the ICT Locations,
  - *Consultant* roles and responsibilities in providing the digital office signage solution,
  - processes for interfacing with the equivalent Project Contractor digital office signage solutions as defined in the Project Contractor Scopes and
  - a proposed level of service and support for the digital office signage solution.
- SP26-11 The *Consultant* Provides the Service in accordance with the accepted Digital Office Signage Plan.

## Schedule CS1 – Health Safety Security and Wellbeing

### CS1-01 Things to be provided by the *Client*

CS1-01.1 The *Client* provides the following

- the documents entitled
  - “Health Safety Security and Wellbeing Strategy”,
  - “Stage 3 Safety Plan”,
  - “Stage 2 Safety and Hazard Log Report”,
  - “CDM Management Plan” and
  - “HSSW Legal and Other Requirements Procedure”

all as identified in **Annex 02**,

- the Project safety data and
- the Project Health and Safety File

(see links in **Annex 02**).

CS1-02.2 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify the health safety security and wellbeing requirements which are to be delivered by the Project Contractors (see link in **Annex 02**).

### CS1-02 Mobilisation Activities

CS1-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.

CS1-02.2 The *Consultant* develops a health safety security and wellbeing plan for the Project and submits the plan to the *Service Manager* for acceptance within 45 working days of the *starting date*. The *Consultant* develops the plan in accordance with section S545 and **Annex 15**. A reason for not accepting the plan is that

- it does not meet the requirements of section S545 and **Annex 15**,
- it does not include the matters set out in section CS1-02.3 or
- it does not allow the health safety security and wellbeing requirements to be delivered in accordance with the contract or the Project Contracts (as applicable).

Any resubmission of the plan is made in sufficient time to enable the plan to be accepted and implemented no later than 75 working days after the *starting date*. From the date of the *Service Manager*’s acceptance of the same, the *Consultant* Provides the Service in accordance with the accepted health safety security and wellbeing plan.

CS1-02.3 The health safety security and wellbeing plan includes the following

- approach to providing leadership of health safety security and wellbeing for the whole Project for the duration of the *service*,



- approach to driving improvement in health safety security and wellbeing for the whole Project for the duration of the service having due regard to the requirements of **Annex 11**,
- approach to managing health safety security and wellbeing for all Project activities which are not carried out by the Project Contractors and do not form part of any Project Contract Scope,
- approach to proactive and reactive engagement by the *Consultant* with each of the Project Contractors to drive high performance against the health safety security and wellbeing requirements in accordance with the relevant Project Contract Scope,
- processes for the review of the Project Contractors' plans for delivery of health safety security and wellbeing requirements including all duties under the Construction (Design and Management) Regulations 2015 whether as Principal Contractor or Principal Designer,
- and for making recommendations to the Project Managers as to whether the Project Contractors' plans should be accepted, rejected with comments or rejected,
- processes for assurance and audit of each of the Project Contractors' delivery of health safety security and wellbeing requirements in accordance with the relevant Project Contract Scope,
- processes for the integration and coordination of each of the Project Contractors' delivery of health safety security and wellbeing requirements in accordance with the relevant Project Contract Scope,
- processes for receiving, assuring and managing health safety security and wellbeing data prepared by each of the Project Contractors in accordance with the relevant Project Contract Scope,
- processes for integrating, managing and reporting health safety security and wellbeing data for the whole Project,
- processes for analysing health safety security and wellbeing data to seek leading and lagging indicators and for making recommendations for improvement to the Integrated Client Team and Project Managers,
- processes for threat and vulnerability assessments and cyber security assessments for the Project and for making recommendations on threat mitigation measures to the Integrated Client Team and Project Managers,
- processes for the review of the Project Contractors' plans for contractors' security standard operating procedures including
  - incident response plan and
  - emergency response plan,
- and for making recommendations to the Project Managers as to whether the Project Contractors' plans should be accepted, rejected with comments or rejected,
- processes for the integration and coordination of the Project Contractors' plans for security,

- processes for capturing and configuring all Project health safety security and wellbeing requirements and obligations and managing all Project health safety security and wellbeing requirements and obligations within the Commitments and Requirements Management Tool and
  - processes for identification management and mitigation of health safety security and wellbeing risks.
- CS1-02.4 The *Consultant* develops a training and education programme based on the health safety security and wellbeing plan for all Integrated Client Team resources.
- CS1-02.5 The *Consultant* establishes a Project health safety security and wellbeing improvement forum.
- CS1-02.6 The *Consultant* establishes a Project occupational health forum to work in partnership with the Project Contractors and stakeholders along the Project route to develop and support initiatives for community based occupational health and to minimise the impact of the Project on existing medical and health resources in the communities in the proximity of the Project.
- CS1-02.7 The *Consultant* establishes a process for competency testing and accreditation of Project Contractors' staff or any other individuals working on the Project which require a Highways England Passport to undertake works or other duties in relation to the Strategic Road Network.

### CS1-03 Delivery Phase Tasks

- CS1-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- CS1-03.2 The *Consultant* Provides the Service in accordance with the accepted health safety security and wellbeing plan.
- CS1-03.3 The *Consultant* ensures that each of the Project Contractors delivers the health safety security and wellbeing requirements in accordance with the relevant Project Contract Scope.
- CS1-03.4 The Consultant acts as the CDM integrator and ensures that each Project Contractor or Ancillary Contractor discharges their duties as Principal Contractor or Principal Designer under the Construction (Design and Management) Regulation 2015.
- The Consultant supports the Client in the discharge of its duties under the Construction (Design and Management) Regulation 2015 including the preparation and issue of F10 certificates to the Health and Safety Executive.
- CS1-03.5 The *Consultant* delivers the training and education programme based on the health safety security and wellbeing plan for all Integrated Client Team resources developed during the Mobilisation Phase.
- CS1-03.6 The *Consultant* manages the Project health safety security and wellbeing improvement forum established during the Mobilisation Phase.

- CS1-03.7 The *Consultant* manages the Project occupational health forum established during the Mobilisation Phase to work in partnership with the Project Contractors and stakeholders along the Project route to develop and support initiatives for community based occupational health and to minimise the impact of the Project on existing medical and health resources in the communities in the proximity of the Project.
- CS1-03.8 The *Consultant* implements the process for competency testing and accreditation of Project Contractors' staff or any other individuals working on the Project which require an HE Passport to undertake works or other duties in relation to the Strategic Road Network established during the Mobilisation Phase.
- CS1-03.9 The *Consultant* prepares and maintains the Tunnel Safety Case for the Project on behalf of the Tunnel Manager.

#### **CS1-04 Review Stages**

- CS1-04.1 The *Consultant* reviews the health, safety, security and wellbeing plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the health, safety, security and wellbeing plan to deliver a lean and agile service with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated health, safety, security and wellbeing plan to the *Service Manager* for acceptance following the same process as set out in section CS1-02.2.

## Schedule CS2 – Communications and Stakeholder Management

### CS2-01 Things to be provided by the *Client*

CS2-01.1 The *Client* provides the following

- the documents entitled
    - “Project Communications and Stakeholder Management Strategy”,
    - “Communications Procedure”,
    - “Highways England Our Visual Identity”,
    - “PGN 03 Stakeholder Engagement Requirements” and
    - “Integrated Stakeholder Engagement and Communications Plan”all as identified in **Annex 02**,  
and other documents and information as set out in **Annex 12**
  - the CRM system for the management of stakeholders and
  - data within the CRM system regarding previous stakeholder engagement on the Project
- (see links in **Annex 02**).

CS2-01.2 The *Client* leads communications and stakeholder management and undertakes the following roles

- ensuring consistency of approach to communications and stakeholder management,
- ensuring consistency of messaging,
- reputation management and
- all contact with press and media.

CS2-01.3 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify

- the communications and stakeholder management requirements which are to be delivered by the Project Contractors and
- the customer complaints, public enquiries and freedom of information requirements which are to be delivered by the Project Contractors.

### CS2-02 Mobilisation Activities

CS2-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.

CS2-02.2 The *Consultant* develops a communications and stakeholder management plan for the Project and submits the plan to the *Service Manager* for acceptance. The *Consultant* develops the plan in accordance with sections S511, S515, S520, **Annex 05** and **Annex 12**. A reason for not accepting the plan is that

- it does not fulfill all of the requirements set out in sections S511, S515, S520, **Annex 05** and **Annex 12**,
- it does not satisfy the requirements set out in section CS2-02.3,
- it does not allow the communications and stakeholder management requirements to be delivered in accordance with the contract or the Project Contracts (as applicable) or
- it does not allow delivery of other plans or other parts of the *service* in accordance with the requirements of the contract.

CS2-02.3 The Project communications and stakeholder management plan includes the following

- approach to driving improvement in communications and stakeholder management for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- approach to managing communications and stakeholder management for all Project activities which are not carried out by the Project Contractors and do not form part of the Project Contract Scope,
- approach to proactive engagement by the Consultant with the Project Contractors to drive high performance against the communications and stakeholder management requirements in accordance with the relevant Project Contract Scope,
- processes for the review of the Project Contractors' plans for delivery of communications and stakeholder management requirements and for making recommendations to the Project Managers as to whether the Project Contractors' plans should be accepted, rejected with comments or rejected,
- processes for assurance and audit of the Project Contractors' delivery of communications and stakeholder management requirements in accordance with the relevant Project Contract Scope,
- processes for the integration and coordination of the Project Contractors' delivery of communications and stakeholder management requirements in accordance with the relevant Project Contract Scope,
- processes for receiving, assuring and managing communications and stakeholder management data prepared by the Project Contractors in accordance with the relevant Project Contract Scope,
- processes for integrating, managing and reporting communications and stakeholder management data for the whole Project,
- communications plans for the following groups
  - road users,
  - community groups, residents, commercial properties and parish councils,
  - stakeholders including MP's, local authorities, national interest groups, regional interest groups, business groups, sponsor communication teams,

- regional media and
- national media
- communications protocols for managing the following channels
  - social media,
  - events and public meetings,
  - customer e-mail,
  - website and
  - newsletters,
- communications plan for managing and mitigating protestor action and
- crisis communications protocol.

### CS2-03 Delivery Phase Tasks

- CS2-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- CS2-03.2 The *Consultant* Provides the Service in accordance with the accepted communications and stakeholder management plan.
- CS2-03.3 The *Consultant* ensures that each of the Project Contractors delivers the communications and stakeholder management requirements in accordance with the relevant Project Contract Scope and in accordance with the accepted communications and stakeholder management plan.
- CS2-03.4 The *Consultant* ensures that each of the Project Contractors delivers the customer complaints, public enquiries and freedom of information requirements in accordance with the relevant Project Contract Scope and in accordance with the accepted communications and stakeholder management plan.
- CS2-03.5 The *Consultant* supports the *Client* in responding to customer complaints, public enquiries and freedom of information requests including
- collating, drafting and coordinating responses and
  - advising on the estimated cost of responding to a freedom of information request
- in accordance with section S555 (Disclosure Requests), **Annex 05** and **Annex 12**.
- CS2-03.6 The *Consultant* ensures that each of the Project Contractors maintain records within the CRM system of all communications and stakeholder management in accordance with the relevant Project Contract Scope.
- CS2-03.7 The *Consultant* maintains records within the CRM system of all communications and stakeholder management for all Project activities which are not carried out by the Project Contractors and do not form part of the Project Contract Scope.

- CS2-03.8 The *Consultant* maintains and manages digital tools for communication with
- community groups, residents, commercial properties and parish councils and
  - stakeholders including MP's, Local Authorities, national interest groups, regional interest groups, business groups, sponsor communication teams.
- CS2-03.9 The *Consultant* provides a 24 hour 365 day a year crisis communications capability and resources for the Project.

#### **CS2-04 Review Stages**

- CS2-04.1 The *Consultant* reviews the Project communications and stakeholder management plan prior to the start of each Review Stage and, at the start of each of each Review Stage, makes recommendations for changes to the Project communications and stakeholder management plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated Project communications and stakeholder management plan to the *Service Manager* for acceptance following the same process as set out in section CS2-02.2.

## Schedule CS3 – Project Management Office including Integrated Project Controls

### CS3-01 Things to be provided by the *Client*

CS3-01.1 The *Client* provides the following

- the documents entitled
  - “Integrated Project Controls Manual”,
  - “Project Change Control Process”,
  - “Project Issues Management and Risk Forecasting Strategy”,
  - “Project Plan Template”,
  - “LTC Document Control Policy”,
  - “LTC Project Management Plan”,
  - “Project Committee Procedure” and
  - “LTC Glossary”

all as identified in **Annex 02**,

- the Project Requirements,
- the Outline Business Case management case and
- the Project Budget
- 

(see links in **Annex 02**).

CS3-01.2 The *Client* leads the PMO and undertakes the following roles

- change control against the Project Requirements and the requirements within the Project Contract Scopes,
- approval of all reporting and
- management of *Client* processes for SGAR.

CS3-01.3 The *Service Manager* provides to the *Consultant*

- the Project change control register,
- the Project reporting calendar and the CIP reporting templates used in “Chrysalis Azure” and
- the Project Contract Scopes which identify the integrated project controls requirements, which are to be delivered by the Project Contractors

(see links in **Annex 02**).

### CS3-02 Mobilisation Activities

CS3-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.



CS3-02.2 The *Consultant* develops a PMO and Integrated Project Controls plan for the Project and submits the plan to the *Service Manager* for acceptance. The *Consultant* develops the plan taking account of the requirements of S806. A reason for not accepting the plan is that

- it does not take account of the requirements of S806,
- it does not include the matters set out in section CS3-02.3 or
- it does not allow the *Consultant* to Provide the Service in accordance with this contract or the Project Contractors to provide the Project Works in accordance with the Project Contracts (as applicable).

CS3-02.3 The PMO and Integrated Project Controls plan includes the following

- approach to providing leadership of the PMO and Integrated Project Controls for the whole Project for the duration of the *service*,
- approach to collaborative working by the *Consultant* with the Commercial Partner to drive high performance in the PMO and Integrated Project Controls for the whole Project for the duration of the *service*,
- approach to driving improvement in the PMO and Integrated Project Controls for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- processes for integrating the Project Contractors' Integrated Project Controls requirements in accordance with the Project Contract Scopes,
- processes to prepare and implement the stage plan for PCF products,
- processes to prepare and plan for the *Client's* SGAR stages 4,5,6 and 7,
- processes to log and evidence the delivery of efficiencies for the Project Contracts and for the Project as a whole,
- processes for analysis and management of change control submissions,
- processes and workflows for preparation and analysis of management information using the systems described in Schedule SP3,
- processes and workflows for preparation and analysis of Project reporting,
- processes and workflows for preparation and analysis of reporting for the following
  - the Government's "Major Projects Portfolio Quarterly Return (GMPP)",
  - the *Client's* Project committee,
  - the CIP "Business Review" (a sub-committee of the *Client's* executive committee),
  - the CIP monthly management review (MMR) and
  - the CIP finance, risk and assurance Group (FRAG),

- processes for supporting the *Client* in providing financial management, information and controls including
  - maintaining Project level financial plans (forecasts, budgets and baselines) including updating the Final Business Case and providing the *Client* with regular financial forecasts to enable the provision of Project funding to be managed,
  - financial reporting and analysis of actual and forecast expenditure including variance analysis against agreed baselines (using Prism and Oracle as set out in Schedule SP3 (Client Software),
  - preparation, maintenance and communication of Project level financial procedures and ensuring compliance across the Project, consistently with the *Client's* existing corporate processes and procedures as well as wider Government controls in line with “Managing Public Money” (see link in **Annex 02**),
  - maintaining appropriate records to provide supporting information for the *Client's* audit and accounting purposes,
  - assuring the setting up of project bank accounts for the Project Contractors and subsequent analysis as required, and
  - correct accounting and recording of VAT and other taxes (provided that the *Consultant* is not required to provide and tax or accounting advice),
- processes for reviewing and assuring that each of the Project Contractors' proposed programmes submitted for acceptance are cost loaded with the Target Budget to generate the Earned Value management Planned Value (each as defined below), and for making recommendations to the relevant Project Manager whether to accept, reject with comments or reject the cost loading within each proposed programme,
- processes for measuring Earned Value and variance analysis for subsequent monthly programme submissions against each of the Project Contractors' First Accepted Programme ,
- processes for calculating Predictability (as defined below) for the Project,
- processes and workflows for use of appropriate data cleansing tools to maintain data integrity and for running and retaining evidence of data quality checks on all data,
- processes for progress reporting including
  - health and safety, environment and security,
  - key contract issues,
  - change control including any change to the Project Requirements and any change to the Project Contract Scopes,
  - performance indicators and variance commentary, including
    - progress,
    - milestones and

- float and float erosion including terminal float,
- programme commentary including changes to the critical path and top five float paths, start and completion dates for activities and changes since previous updates, and proposals for retrieving any slippage,
- cost reporting including Earned Value performance,
- cost and Earned Value variance commentary,
- third parties,
- interfaces,
- consents,
- design assurance,
- quality assurance,
- community relations and communications,
- customer service matters,
- Strategic Risk Events notified and implemented in the month summary of any early warning notices,
- insurance related issues and
- risks and opportunities.

#### CS3-02.4 For the purposes of section CS3-02.4

- “Planned Value” is the budgeted cost of work scheduled (BCWS) as per the planned dates and total of the Forecast of Defined Cost from the First Accepted Programme. The Planned Value at the end of the relevant Project Works is the budget at completion (BAC). The BAC is equal to the total of the Forecast of Defined Cost and is to be maintained in cognisance of implemented Strategic Risk Events until Project Contract Completion,
- “Earned Value” is the budgeted cost of work performed (BCWP) as per the physical percentage complete from the then current Accepted Programme (as such expression is defined in the Project Contract) applied against the corresponding total of the Forecast of Defined Cost from the First Accepted Programme. When 100% complete the Earned Value will equal the total of the Forecast of Defined Cost,
- “Actual Cost of Work Performed” is the total Defined Cost (excluding Fixed Fee and Risk Quota) to date (as such expressions are defined in the Project Contracts), which includes monies paid and accruals for works performed up to the data date of each reporting period in accordance with the requirements of the reporting cycle and will be related to programme activity accomplished. This data will be incorporated by the Project Contractor into the cost variance report for comparison with Earned Value,

- “Estimate to Completion” is the Project Contractor’s total Forecast of Defined Cost less the Actual Cost of Work Performed to date and is a periodic profile, and
- “Predictability” is calculated as follows

Predictability Ratio = SPI x CPI

Average Predictability for the Quarter =

Ratio Month 1 + Ratio Month 2 + Ratio Month 3

SPI – Schedule Performance Index equals earned value divided by planned value

CPI – Cost Performance Index equals planned value divided by actual cost

### CS3-03 Delivery Phase Tasks

- CS3-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- CS3-03.2 The *Consultant* Provides the Service in accordance with the accepted PMO and Integrated Project Controls plan.
- CS3-03.3 The *Consultant* ensures that each of the Project Contractors delivers the integrated project controls requirements as set out in and in accordance with the relevant Project Contract.
- CS3-03.4 The *Consultant* provides the Integrated Project Controls including management of scope, risk, opportunities, time, cost, value of work, resources, performance, change and Earned Value management (as defined above) and analysis of management information using the systems set out in Schedule SP3 (Client Software), and including the outputs required under the following Services and Systems Schedules
- Integrated Project Programme as set out in Schedule PS2 (Project Integrator),
  - contract administration as set out in Schedule PS8 (Contract Management),
  - schedule management as set out in Schedule PS9 (Construction Delivery and Interface Management) and
  - risk and opportunity management as set out in Schedule PS10 (Risk and Opportunity Management).
- CS3-03.5 The *Consultant* calculates the Predictability for the Project and includes the outcome within the monthly project report. Where Predictability lies outside the agreed range, the Consultant develops and agrees remedial action with the relevant Project Contractor or Ancillary Contractor.
- CS3-03.6 The *Consultant* provides document control for the Project in accordance with the *Client’s* document control procedure and develops the workflows and

processes for document control. The *Consultant* uses Business Collaborator for document management as set out in Table SP2 of Schedule SP2 (Items to be Provided by the Consultant).

- CS3-03.7 The *Consultant* supports the *Client* in providing the PMO including
- preparing and implementing the stage plan for PCF products,
  - preparation and planning for SGAR, independent assurance reviews (IARs) and Investment Decision Committee (IDC) processes analysis and management of change control submissions,
  - preparation and analysis of management information using the systems described in Schedule SP3 (Client Software),
  - preparation and analysis of Project reporting,
  - preparation and analysis of reporting for the GMPP, the Project Committee, the CIP Business Review, the CIP Project Review MMR and the CIP FRAG and
  - preparation for other Government reviews and audits including the “Infrastructure Projects Authority”, and the “National Audit Office”.
- CS3-03.8 The *Consultant* supports the *Client* in providing financial management, information and controls including
- maintaining Project level financial plans (forecasts, budgets and baselines) including updating the Final Business Case and providing the *Client* with regular financial forecasts to enable the provision of Project funding to be managed,
  - financial reporting and analysis of actual and forecast expenditure including variance analysis against agreed baselines (using Prism and Oracle as set out in Schedule SP3 (Client Software),
  - preparation, maintenance and communication of Project level financial procedures and ensuring compliance across the Project, consistently with the *Client*’s existing corporate processes and procedures as well as wider Government controls in line with “Managing Public Money” (see link in **Annex 02**),
  - maintaining appropriate records to provide supporting information for the *Client*’s audit and accounting purposes, and
  - correct accounting and recording of VAT and other taxes (provided that the *Consultant* is not required to provide and tax or accounting advice).
- CS3-03.9 The *Consultant* provides an insurance manager to support the *Client* in managing the Project Owner Controlled Insurance Policy.

#### **CS3-04 Review Stages**

- CS3-04.1 The *Consultant* reviews the PMO and Integrated Project Controls plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the PMO and Integrated Project Controls plan to deliver a lean and agile service with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated PMO and

Integrated Project Controls plan to the *Service Manager* for acceptance following the same process as set out in section CS3-02.2.

## Schedule CS4 – Legacy and Benefits Management

### CS4-01 Things to be provided by the *Client*

- CS4-01.1 The *Client* provides the following
- the documents entitled
    - “Legacy and Benefits Strategy”,
    - “Balanced Scorecard and metrics”,
    - “Sustainability and Benefits Statement”,
    - “Skills and Employment Strategy”
    - “Legacy and Benefits Baseline Data”
    - “Conflicts of Interest Compliance and Implementation Policy Presentation”
    - “LTC Conflict of Interest: Compliance and Implementation Guide” and
    - “Reporting and KPI Management Strategy”
- all as identified in **Annex 02**
- the DCO application and
  - the benefits case from the Outline Business Case and (see links in **Annex 02**).
- CS4-01.2 The *Service Manager* provides to the *Consultant* a schedule of legacy and benefits requirements which are to be delivered by the *Consultant* (see link in **Annex 02**).
- CS4-01.3 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify the legacy and benefits requirements which are to be delivered by the Project Contractors (see link in **Annex 02**).

### CS4-02 Mobilisation Activities

- CS4-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- CS4-02.2 The *Consultant* develops a legacy and benefits realisation plan for the Project and submits the plan to the *Service Manager* for acceptance. The *Consultant* develops the plan in accordance with the *Client*’s PCF Stage 5 requirements. A reason for not accepting the plan is that
- it does not meet the *Client*’s PCF Stage 5 requirements,
  - it does not allow the legacy and benefits requirements to be delivered in accordance with the contract or the Project Contracts (as applicable),
  - it does not allow the *Client* to meet its obligations under any Project Consent or

- it does not include the matters set out in section CS4-02.3.

CS4-02.3 The legacy and benefits realisation plan includes the following

- processes for the review of the Project Contractors' plans for delivery of legacy and benefits requirements, including the establishment of baseline data, and for making recommendations to the Project Managers as to whether the Project Contractors' plans should be accepted, rejected with comments or rejected,
- processes for assurance and audit of the Project Contractors' delivery of legacy and benefits requirements in accordance with the relevant Project Contract Scope,
- processes for receiving, assuring and managing legacy and benefits data prepared by the Project Contractors in accordance with the relevant Project Contract Scope,
- programme, approach and processes for managing the legacy and benefits requirements to be delivered by the *Consultant*,
- processes for integrating, managing and reporting legacy and benefits data for the whole Project,
- processes for maintaining the legacy and benefits baseline data,
- processes and approach to proactive engagement by the *Consultant* with the Project Contractors to drive high performance against the Balanced Score Card requirements in accordance with the relevant Project Contract Scope,
- identification of risks to the achievement of the legacy and benefits requirements and processes to manage and mitigate risks,
- identification of opportunities and processes to manage and realise opportunities,
- processes for
  - capturing and configuring all Project legacy and benefits requirements and obligations and
  - managing all Project legacy and benefits requirements and obligations,
 within the Commitments and Requirements Management Tool and
- establishment of, and processes for the management of
  - a Project volunteering plan,
  - a Project skills and employment plan,
  - a Project community engagement fund,
  - a Project environment fund,
  - a Project community business fund,
  - a Project stakeholder group to work in partnership with stakeholders beyond the physical geography of the Project route to develop and support initiatives to realise benefits and



- a Project benefits group to work in partnership with the Project Contractors and stakeholders along the Project route to develop and support initiatives to maximise legacy and benefits from the detailed design and construction of the Project Works.

CS4-02.4 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the legacy and benefits key performance indicators within each of the Project Contracts.

### **CS4-03 Delivery Phase Tasks**

CS4-03.1 The *Consultant* provides the following services during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

CS4-03.2 The *Consultant* Provides the Service in accordance with the accepted legacy and benefits realisation plan.

CS4-03.3 The *Consultant* ensures that each of the Project Contractors delivers the legacy and benefits requirements in accordance with the relevant Project Contract Scope.

CS4-03.4 The *Consultant* prepares outcomes reports for legacy and benefits annually and produces a final report on Completion.

CS4-03.5 The *Consultant* prepares applications for Designated Funds where required by the *Service Manager*.

CS4-03.6 The *Consultant* attends schools and colleges along the route to publicise the Project and to engage young people in career opportunities where required by the *Service Manager*.

### **CS4-04 Review Stages**

CS4-04.1 The *Consultant* reviews the legacy and benefits realisation prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the legacy and benefits realisation plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated legacy and benefits realisation plan to the *Service Manager* for acceptance following the same process as set out in section CS4-02.2.

## Schedule CS5 – People and Organisational Management

### CS5-01 Things to be provided by the *Client*

#### CS5-01.1 The *Client* provides

- the documents entitled
    - “LTC Vision and Strategic Goals”,
    - “Employee Engagement Strategy”,
    - “Equality, Diversity and Inclusion (EDI) Statement of Intent”,
    - “LTC Anti-Harassment and Bullying Policy”,
    - “Highways England HR Strategy”,
    - “Highways England Industrial Relations Strategy and Policy”,
    - “Non-Disclosure Agreement”,
    - “Drugs and Alcohol Policy”,
    - “Drugs and Alcohol Procedure”,
    - “Cyber Security Policy”,
    - “Acceptable Use Policy”,
    - “Password Policy” and
    - “Information Handling Policy”
- all as identified in **Annex 02** and
- the Integrated Client Team organisational design (see link in **Annex 02**).

#### CS5-01.2 The *Client* provides the Behaviours and Values Statement (see link in **Annex 02**).

### CS5-02 Mobilisation Activities

#### CS5-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities and embeds the behaviours and values set out in the Behaviours and Values Statement into the Integrated Client Team, ensuring that each member of the Integrated Client Team adopts such behaviours and values in the performance of their role on the Project.

#### CS5,02,2 The *Consultant* submits all deliverables required by this section CS5-02 or by **Annex 06** to the *Service Manager* for acceptance within 45 working days of the *starting date*. Any resubmission of any deliverables is made in sufficient time to enable the relevant deliverable to be accepted and implemented no later than 75 working days after the *starting date*. From the date of the *Service Manager's* acceptance of each such deliverable, the *Consultant* Provides the Service in accordance therewith.

- CS5-02.3 The *Consultant* develops the organogram for the Integrated Client Team and submits the organogram to the *Service Manager* for acceptance. A reason for not accepting the organogram is that
- it does not contain sufficient detail to enable the *Client* to understand the Integrated Client Team structure,
  - it does not allow the *Consultant* to Provide the Service in accordance with the contract,
  - it does not allow the other members of the Integrated Client Team to deliver their respective part of the ICT Services in accordance with their contracts or
  - it does not comply with section CS5-02.3.
- CS5-02.4 The *Consultant* ensures that all posts within the organogram have a unique identifier reference.
- CS5-02.5 The *Consultant* provides an electronic HR data system with the following functionality
- unique identifier reference for each post,
  - status of posts whether filled, vacant or under offer,
  - tracking of status of recruitment for posts,
  - details of the organisation within the Integrated Client Team which is resourcing the post,
  - name, address and emergency contact details of the individual providing the resource for each post,
  - records of competencies required for each post and training for the individual providing the resource for each post and
  - report generation including a resourcing status dashboard.
- CS5-02.6 The *Consultant* ensures that the organogram and data within the electronic data system are current at all times.
- CS5-02.7 The *Consultant* develops a training and education programme for all Integrated Client Team resources, based on the Behaviours and Values Statement, aligned with **Annex 06** and **Annex 07**, and incorporating the modules and training plans described below.
- CS5-02.8 The *Consultant* develops leadership and collaborative training modules for the Integrated Client Team and submits the modules to the *Service Manager* for acceptance. The *Consultant* develops the modules with reference to the *Client's* "Improving Behaviours Improving Performance" strategy (see link in **Annex 02**). A reason for not accepting the modules is
- they do not align with the *Client's* "Improving Behaviours Improving Performance" strategy,
  - they will not enable the Integrated Client Team to deliver the ICT Services,

- they do not align with **Annex 06** and **Annex 07** or
  - they will not enable the *Consultant* to Provide the Service in accordance with the contract.
- CS5-02.9 The *Consultant* develops leadership and collaborative training modules for the mobilisation of the Project Contractors and submits the modules to the *Service Manager* for acceptance. A reason for not accepting the modules is
- they do not align with the *Client's* "Improving Behaviours Improving Performance" strategy,
  - they will not enable the Project Contractors to mobilise in accordance with the Project Contracts or
  - they do not align with **Annex 06** and **Annex 07**.
- CS5-02.10 The *Consultant* develops an induction module for all Project Contractor resources which join the Project during the Delivery Phase 1 and submits the module to the *Service Manager* for acceptance. A reason for not accepting the module is
- it does not align with the *Client's* "Improving Behaviours Improving Performance" strategy,
  - it will not provide the individual an adequate induction to the Project or
  - it does not align with **Annex 06** and **Annex 07**.
- CS5-02.11 The *Consultant* develops an apprentice and graduate training plan, which aligns with **Annex 06**, including providing secondment opportunities and experiential learning placements for the Integrated Client Team, and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan that it does not align with **Annex 06**.
- CS5-02.12 The *Consultant* develops a skills and capability training plan to enhance the skills and capabilities of the *Client* resources within the Integrated Client Team and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is
- it does not align with **Annex 06** or
  - it does not align with the *Client's* "Improving Behaviours Improving Performance" strategy.
- CS5-02.13 The *Consultant* develops a knowledge management and knowledge sharing plan for the Integrated Client Team and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is
- it does not align with **Annex 06** or
  - it will not allow the members of the Integrated Client Team to provide the ICT Services in accordance with their respective contracts.
- CS5-02.14 The *Consultant* provides a knowledge management system which provides a knowledge repository for the Integrated Client Team and submits the knowledge management system to the *Service Manager* for acceptance. A reason for not accepting the knowledge management system is that it will not

allow the members of the Integrated Client Team to provide the ICT Services in accordance with their respective contracts.

- CS5-02.15 The *Consultant* develops a plan for managing and hosting third party and stakeholder site visits to the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is
- it does not contain sufficient detail for the *Service Manager* to evaluate it or
  - it will interfere with the ability of the Project Contractors to provide the Project Works or the ability of the Integrated Client Team to deliver the ICT Services or the ability of the *Consultant* to Provide the Service.
- CS5-02.16 The *Consultant* develops a 360 degree behaviours survey for the Integrated Client Team and submits it to the *Service Manager* for acceptance. The behaviours survey measures the extent to which the behaviours and values set out in the Behaviours and Values Statement have been embedded into, and are being displayed by, each member of the Integrated Client Team in the performance of its respective role on the Project. The *Consultant* conducts the survey every 3 months. A reason for not accepting the survey is
- it does not include adequate provisions to measure the extent to which the behaviours and values in the Behaviours and Values Statement have been embedded into the Integrated Client Team or
  - it does not comply with the contract.
- CS5-02.17 The *Consultant* provides an induction for all resources joining the Integrated Client Team during the Mobilisation Phase. The induction will include as a minimum an introduction to the Project, the behaviours and values set out in the Behaviours and Values Statement, health, safety, security and wellbeing, an introduction to the role and structure of the Integrated Client Team and the required methods of working, and an introduction to the data and management tools to be used by the Integrated Client Team.
- CS5-02.18 The *Consultant* provides an identity card for all resources joining the Integrated Client Team during the Mobilisation Phase and undertakes any security clearance checks which the *Client* may require in accordance with section S504 of the Scope.

### **CS5-03 Delivery Phase Tasks**

- CS5-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract and embeds the behaviours and values set out in the Behaviours and Values Statement into the Integrated Client Team, ensuring that each member of the Integrated Client Team adopts such behaviours and values in the performance of their role on the Project.
- CS5-03.2 The *Consultant* manages the resourcing of the Integrated Client Team irrespective of whether the resource is provided by the *Consultant* or by others.

- CS5-03.3 The *Consultant* conducts the 360 degree behaviours survey developed for the Integrated Client Team during the Mobilisation Phase, every 3 months.
- CS5-03.4 The *Consultant* provides an induction for all resources joining the Integrated Client Team during the Delivery Phases. The induction will include as a minimum an introduction to the Project, the behaviours and values set out in the Behaviours and Values Statement, Health Safety Security and Welfare, an introduction to the role and structure of the Integrated Client Team and the required methods of working, and an introduction to the data and management tools to be used by the Integrated Client Team.
- CS5-03.5 The *Consultant* delivers the training and education programme developed during the Mobilisation Phase for all Integrated Client Team resources as set out below.
- CS5-03.6 The *Consultant* delivers leadership and collaborative training for the Integrated Client Team in accordance with the accepted leadership and collaborative training modules.
- CS5-03.7 The *Consultant* delivers leadership and collaborative training for the mobilisation of the Project Contractors in accordance with the accepted leadership and collaborative training modules.
- CS5-03.8 The *Consultant* delivers the accepted induction module for all Project Contractor resources which join the Project during Delivery Phase 1 only.
- CS5-03.9 The *Consultant* provides an identity card for all resources joining the Integrated Client Team during the Delivery Phases and undertakes any security clearance checks which the *Client* may require in accordance with section S504 of the Scope.
- CS5-03.10 The *Consultant* delivers apprentice and graduate training for the Integrated Client Team in accordance with the accepted apprentice and graduate training plan.
- CS5-03.11 The *Consultant* delivers skills and capability training for the *Client* resources within the Integrated Client Team in accordance with the accepted skills and capability plan.
- CS5-03.12 The *Consultant* implements the accepted knowledge management and knowledge sharing plan and stores and manages the data from the knowledge management and knowledge sharing plan in the electronic data management tool provided during the Mobilisation Phase.
- CS5-03.13 On Completion the *Consultant* delivers the data from the electronic data management tool to the *Client*.
- CS5-03.14 The *Consultant* hosts and delivers third party and stakeholder site visits to the Project in accordance with the accepted plan for managing and hosting third party and stakeholder site visits to the Project.
- CS5-03.15 The *Consultant* complies with the *Client's* HR strategy (see link in **Annex 02**) where this may have an effect on individuals in the Integrated Client

Team and develops and implements policies and procedures that support that strategy including

- the terms and conditions that apply to those individuals,
- policies that apply to those individuals that are no less stringent than those of the *Client* in the areas of health and safety, training and development, business ethics, code of conduct, drug and illegal substances, equal opportunities, harassment and bullying, conduct of individuals in the run up to elections/local elections, gifts and hospitality, and alcohol and drugs and
- policies that ensure that all equality, diversity, inclusion and fairness of opportunity legal requirements are implemented for all individuals during their employment and in all stages of recruitment.

CS5-03.16 The *Consultant* ensures that all Integrated Client Team resources have access to a programme of occupational health and welfare which complies with the requirements set out in **Annex 15**.

CS5-03.17 The *Client* provides training for the Integrated Client Team resources on any *Client* mandated systems the Integrated Client Team is required to use in delivering the ICT Services.

CS5-03.18 The *Consultant* implements the *Client's* "Industrial Relations Strategy and Policy" (see link in **Annex 02**) to ensure a consistent approach across all Project Contracts.

#### **CS5-04 Review Stages**

CS5-04.1 The *Consultant* reviews the Integrated Client Team organisational design and the training and education programme described in this Schedule CS5 prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to organisational design, training and education required to deliver a lean and agile Integrated Client Team with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a report of its review to the *Service Manager* for acceptance. A reason for not accepting the report is

- it does not include everything required by this section CS5-03.18 or
- it does not otherwise comply with the contract.

## Schedule CS6 – Quality Management

### CS6-01 Things to be provided by the *Client*

CS6-01.1 The *Client* provides the documents entitled

- “PCF 241 Network Performance Criteria and Charging” and
- “Document Management and Business Collaborator (BC) Training”

all as identified in **Annex 02**.

CS6-01.1 The *Service Manager* provides to the *Consultant*

- the Project Contract Scopes,
- the Ancillary Contract Scopes and
- the Commercial Partner Contract Scope

which identify the quality management requirements which are to be delivered by the Project Contractors, Ancillary Contractors, Commercial Partner and Technical Partner (as applicable) (see links in **Annex 02**).

### CS6-02 Mobilisation Activities

CS6-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities. Until the Project Quality Management System is approved the *Consultant* Provides the Service in accordance with its own ISO 9001 quality certification.

CS6-02.2 The *Consultant* develops a Project Quality Management System (“PQMS”) which reflects the principles set out in sections S541 and S542 and submits the PQMS to the *Service Manager* for acceptance within 45 working days of the *starting date*. A reason for not accepting the PQMS is that

- it would not be capable of certification to ISO 9001, ISO 9004, ISO 14001 or ISO 44001,
- it does not allow the quality management requirements to be delivered in accordance with the contract or the Project Contracts or the Ancillary Contracts (as applicable),
- it does not allow the quality management requirements to be delivered in accordance with the Technical Partner or Commercial Partner contract (as applicable),
- it does not support the transfer of data to an ISO 55001 asset management system on Completion of the Project Contracts or the Ancillary Contracts,
- it does not reflect the principles set out in sections S541 and S542 or
- it does not include the matters set out in section CS6-02.3

Any resubmission of the PQMS is made in sufficient time to enable the PQMS to be accepted and implemented no later than 75 working days after the *starting date*. From the date of the *Service Manager’s* acceptance of the same, the *Consultant* Provides the Service in accordance with the accepted PQMS.



CS6-02.3 The PQMS includes the following

- approach to providing leadership of quality management and assurance for the whole Project for the duration of the *service*,
- approach to driving collaboration between the Project Contractors, Ancillary Contractors, Technical Partner and Commercial Partner in quality management,
- approach to driving improvement in quality management for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- approach to proactive engagement by the *Consultant* with the Project Contractors, Ancillary Contractors, Technical Partner and Commercial Partner to drive high performance in quality management,
- processes for assuring that each of the Project Contractors delivers the quality management requirements in accordance with the relevant Project Contract Scope,
- processes for assuring that each of the Ancillary Contractors delivers the quality management requirements in accordance with the relevant Ancillary Contract Scope,
- processes for the review of the Project Contractors' plans for delivery of quality management requirements in accordance with the Project Contract Scopes and for making recommendations to each of the Project Managers as to whether the relevant Project Contractor's plans should be accepted, rejected with comments or rejected,
- processes for developing a risk based intrusion model for second and third party audit, quality control and surveillance,
- processes for second party and third party audit by the *Consultant* of the Project Contractors, the Project Contractors' supply chains, the Ancillary Contractors, the Ancillary Contractors' supply chains, the Commercial Partner and the Technical Partner,
- processes to enable the Project Managers to respond to and resolve non-compliance reports raised by the Project Contractors, Ancillary Contractors, Commercial Partner and Technical Partner to ensure that each Project Manager has all data and advice required to meet the periods for reply set out within the Project Contracts,
- processes to identify, respond to and resolve non-compliance reports raised by the Project Contractors or Ancillary Contractors which may either import or export risk to one or more of the Project Contracts or Ancillary Contracts, or to an interface specified in the Interface Matrix,
- processes for analysing quality management data to seek leading indicators and for making recommendations for improvement to the *Service Manager*,
- processes to support and enable the PCF and SGAR,
- processes for allocating Quality Management Points as set out in **Annex 10** for the *service*,

- processes for managing the clearance and resolution of defects during the defects period as defined in each of the Project Contracts,
- processes and workflows for the integration of data between the electronic commitments and requirements tool, the PQMS, the EDMS and the issue of contractual communications using CEMAR and
- a Commitments and Requirements Management Tool that provides
  - a traceable map of all Project requirements and commitments showing the ownership of all Project requirements and commitments,
  - the status of completion or discharge of the Project requirements and commitments,
  - rules which govern assurance and acceptance by the *Client*, or where delegated duties are in place the Delivery Partner or Technical Partner, of
    - compliance by each of the Project Contractors and the Ancillary Contractors with the requirements and commitments in the relevant Project Contract Scope or Ancillary Contract Scope (as applicable) and
    - compliance with Project requirements and commitments which are not within any of the Project Contract Scopes or the Ancillary Contract Scopes,
  - controlled access for the Project Contractors and Ancillary Contractors to input and review data,
  - traceable records of all quality management actions which comprise assurance and acceptance by the *Client* of compliance by each of the Project Contractors and the Ancillary Contractors with the requirements and commitments in the relevant Project Contract Scope or Ancillary Contract Scope (as applicable) and of compliance with Project requirements and commitments which are not within any of the Project Contract Scopes or the Ancillary Contract Scopes and
  - compatibility with the Project Systems specified in Schedule SP 2 and Schedule SP 3.

CS6-02.4 In developing the PQMS, the *Consultant* includes specific provision to measure its own performance against the following CPF categories

- 1.1c Health and Safety Management,
- 2.1h Effectiveness of engagement with customers and stakeholders,
- 2.2a Understanding Key Messages,
- 4.2a Percentage of value spend and average supplier payment timescales,
- 4.3a Equality, diversity and inclusivity (EDI),
- 4.4b Behavioural Maturity Action,

- 6.1a Performance against Project specific efficiency targets and effect on whole life performance,
- 6.2a Predictability Factor and
- 6.3a Quality Management, Service Levels and Key Deliverables.

The *Consultant* assesses its performance score under the CPF, in accordance with then-current guidance as published on the *Client's* "Supply Chain Portal" (see link in **Annex 02**). The *Consultant* submits quarterly returns recording its performance to the supplier performance team through the Supply Chain Portal. Any score of less than 6 is treated by the PQMS as a non-compliance and the *Consultant* takes appropriate action to remedy the same.

### **CS6-03 Delivery Phase Tasks**

- CS6-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- CS6-03.2 The *Consultant* Provides the Service in accordance with the accepted PQMS.
- CS6-03.3 The *Consultant* provides a training and education programme for the *Client*, the Project Contractors, the Ancillary Contractors, the Technical Partner and the Commercial Partner based on the accepted PQMS.
- CS6-03.4 The *Consultant* continues to submit quarterly returns recording its performance score under the CPF to the *Client's* supplier performance team through the "Supply Chain Portal" (see link in **Annex 02**). Any score of less than 6 is treated by the PQMS as a non-compliance and the *Consultant* takes appropriate action to remedy the same.

### **CS6-04 Review Stages**

- CS6-04.1 The *Consultant* reviews the PQMS prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the PQMS to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated PQMS to the *Service Manager* for acceptance following the same process as set out in section CS6-02.2.

## Schedule PS1 – Design Management and Assurance

### PS1-01 Things to be provided by the *Client*

- PS1-01.1 The *Client* provides the following
- the documents entitled
    - "Client Scheme Requirements",
    - "Project Network Operations and Maintenance Strategy",
    - "Project Network Performance Criteria",
    - "Project Asset Management Strategy",
    - "Project Testing and Commissioning Strategy",
    - "Design Management Strategy",
    - "PCF 241 Network Performance Criteria and Charging" and
    - "Change Control Strategy and Plan"
- all as identified in **Annex 02**,
- the Project Requirements,
  - the DMRB,
  - the MCHW,
  - the Design within Development Consent Order Submission to PINS,
  - the governance for the Project Design Authority,
  - details of those duties of each of the Project Managers which will be delegated to the *Consultant*,
  - details of duties delegated to the Technical Partner by the *Client's* standards and engineering services directorate,
  - details of those duties of the "Employer's Agent" under the Technical Partner Contract which will be delegated to the *Consultant* and
  - the BIM execution plan
- (see links in **Annex 02**).
- PS1-01.2 The *Client* establishes a panel of experts and stakeholders that advises the *Client* on and promotes aesthetic and environmental best practice in relation to the design of the Project (the "Advisory Panel").
- PS1-01.3 The *Client* establishes a design assurance body, comprising resources from each of the *Client*, the *Consultant* and the Technical Partner, and with collective responsibility for the assurance of the designs provided by the Project Contractors (the "Project Design Authority"). The *Client* provides the chairperson of the Project Design Authority.
- PS1-01.4 The *Client* establishes the Tunnel Administrative Authority which is accountable for the Tunnel Safety Case under the Road Tunnel Safety Regulations 2007 (see link in **Annex 02**).

- PS1-01.5 The *Client* provides the Tunnel Safety Officer and the Tunnel Manager.
- PS1-01.6 The *Service Manager* provides to the *Consultant* the SGAR 3 report detailing all design PCF products and other products which have been assured as part of the Design for the Development Consent Order including records of all “approval in principle” under the DMRB granted by the *Client* and all departures from standards under the DMRB granted by the *Client* (see link in **Annex 02**).
- PS1-01.7 The *Service Manager* provides to the *Consultant*
- the BIM Model and data,
  - the GIS Model and data and
  - the design risk statement
- prepared by the Technical Partner (see links in **Annex 02**).
- PS1-01.8 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify the design requirements, including design constraints, standards, specifications, PRAMS, design for maintenance requirements and design for safety requirements (collectively the “Design Requirements”) which are to be delivered by the Project Contractors (see link in **Annex 02**).

## PS1-02 Mobilisation Activities

- PS1-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS1-02.2 The *Consultant* develops a design management and assurance plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that
- it does not include the matters set out in PS1-02.3 or
  - it does not allow the design management and assurance requirements to be delivered in accordance with the contract or the Project Contracts (as applicable).
- PS1-02.3 The design management and assurance plan includes the following
- approach to providing leadership of design management and assurance for the whole Project for the duration of the *service*,
  - approach to collaborative working by the *Consultant* with the Technical Partner to drive high performance in design management and assurance for the whole Project for the duration of the *service*,
  - approach to driving collaboration between the Project Contractors in the management of interfaces within the design management and assurance requirements in accordance with the Project Contract Scopes,

- approach to driving improvement in design management and assurance for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- approach to proactive engagement by the *Consultant* with the Project Contractors to drive high performance against the design management and assurance requirements in accordance with the Project Contract Scopes,
- approach to integrating the Project Contractors' design management and assurance requirements in accordance with the Project Contract Scopes,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to drive efficiencies against the design management and assurance requirements in accordance with the relevant Project Contract Scope,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to identify, manage and mitigate risk against the design management and assurance requirements in accordance with the relevant Project Contract Scope,
- processes to manage the Advisory Panel and incorporate its recommendations within the assurance of the design produced by each of the Project Contractors in accordance with its respective Project Contract,
- processes and workflows to plan, coordinate and manage Project Contractors' design deliverables required under the Project Contracts to meet the *Client's* PCF SGAR requirements,
- processes and workflows for the Project Contractors to submit their design deliverables required under the Project Contracts to the relevant Project Manager including workflows for document management and issue of contractual communications using CEMAR,
- processes for the review of the Project Contractors' plans for delivery of design management and assurance requirements in accordance with the Project Contract Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
- processes for the review of the Project Contractors' plans for delivery of design and for making recommendations to the Project Managers to promote the use of common components and to promote consistency in linear assets, including making recommendations to the Project Managers where instructions are required to be given to ensure consistency of linear assets,
- processes for assurance and audit of each of the Project Contractors' delivery of design management and assurance requirements in accordance with the relevant Project Contract Scope,

- processes for receiving, assuring and managing each of the Project Contractors' design submissions made in accordance with the relevant Project Contract which either
  - require "approval in principle" by the Technical Partner under the duties delegated to it by the *Client's* standards and engineering services directorate or
  - request a departure from standards under duties delegated to the Technical Partner by the *Client's* standards and engineering services directorate

and service level agreements for the Technical Partner to ensure that all such design submissions are reviewed and decisions made in a timely manner to allow the Project Manager to fulfil its duties under the Project Contracts,

- service level agreements for the Technical Partner to ensure that all Project Contractors' design submissions made in accordance with the Project Contracts are reviewed and recommendations made to the Project Manager in a timely manner to allow the relevant Project Manager to fulfil its duties under the relevant Project Contract,
- processes to manage, track and report the review of each of the Project Contractors' plans for delivery of design management and assurance requirements,
- processes to manage, track and report the assurance and audit of each of the Project Contractors' delivery of design management and assurance requirements,
- processes for receiving, assuring and managing design management and assurance data prepared by each of the Project Contractors in accordance with the relevant Project Contract Scope,
- processes for the Technical Partner to receive, integrate, maintain and assure the data produced by the Project Contractors within the BIM Model in accordance with the relevant Project Contract Scope,
- processes for the Technical Partner to receive, integrate, maintain and assure the GIS data produced as part of the design management and assurance requirements by the Project Contractors in accordance with the Project Contracts,
- processes for including all design management and assurance requirements within the Integrated Project Programme,
- processes for the progressive assurance of the Project Contractors' design including the use of 50%, 70% and 90% complete design reviews,
- processes for the integration of designs and operating systems within design submissions made by the Project Contractors in accordance with the Project Contracts,
- processes to drive efficiencies against the design management and assurance requirements in accordance with each of the Project Contract Scopes,

- processes to identify, manage and mitigate risk against the design management and assurance requirements in accordance with each of the Project Contract Scopes,
- processes for the review of any design submissions by the Project Contractors' for a "not environmentally worse than" solution to the discharge of Project Consents and associated requirements and for making recommendations to the Project Managers as to whether the Project Contractors' submissions are to be accepted, rejected with comments or rejected,
- processes for the management and assurance of the Tunnel Safety Case under the Road Tunnel Safety Regulations 2007 including managing engagement with the police, emergency services and *Client's* road traffic officer services,
- processes to manage the compilation of the contract documents for each of the Project Contracts in order to capture and configure the outcomes from the procurement process,
- processes for the OCI Phase to mitigate risks and seek efficiencies as the Project Contractors prepare their design and to optimise permanent and temporary land take within each of the Project Contracts,
- processes for managing and assuring the integration of as-built design data by the Project Design Authority and ensuring that all Project Contractors meet the requirements for as-built data under the Project Contracts,
- processes for managing the Project Design Authority's assurance of the design of the Intelligent Transport Systems and
- processes for
  - capturing all Project design management and assurance requirements and obligations and
  - managing all Project design management and assurance requirements and obligations
 within the Commitments and Requirements Management Tool.

PS1-02.4      The *Consultant* supports the *Client* during procurement of the Project Works to

- negotiate and finalise the design management and assurance requirements within each of the Project Contracts and
- review and agree the design management plan and programme within each of the Project Contracts.

PS1-02.5      The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS1-03   Delivery Phase Tasks**



- PS1-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- PS1-03.2 The *Consultant* Provides the Service in accordance with the accepted design management and assurance plan.
- PS1-03.3 The *Consultant* provides an induction training and education programme for all resources in the Project Design Authority based on the design management and assurance plan.
- PS1-03.4 The *Consultant* provides an induction training and education programme for the Project Contractors on the workflows and systems in the design management and assurance plan.
- PS1-03.5 The *Consultant* ensures that each of the Project Contractors delivers the Design Requirements in accordance with the relevant Project Contract. The Project Contractors are responsible for, and incentivised to, design to cost and drive efficiencies against the design management and assurance requirements in accordance with the relevant Project Contract Scope.
- PS1-03.6 The *Consultant* directs and manages the Project Design Authority and ensures that all Project Contractors' design submissions made in accordance with the Project Contracts are reviewed and recommendations made to the relevant Project Manager in a timely manner to allow the Project Manager to fulfil its obligations under the relevant Project Contract.
- PS1-03.7 The *Consultant* directs and manages the integration of designs and operating systems and the assurance of the Intelligent Transport Systems design by the Project Design Authority and ensures that all Project Contractors' design submissions made in accordance with the Project Contracts meet the integration requirements under the Project Contracts.
- PS1-03.8 The *Consultant* directs and manages the integration of as-built design data by the Project Design Authority and ensures that all Project Contractors meet the requirements for as-built data set out in the Project Contracts.
- PS1-03.9 The *Consultant* sets service level agreements for the Technical Partner to ensure that all Project Contractors' design submissions made in accordance with the Project Contracts are reviewed and recommendations made to the relevant Project Manager in a timely manner to allow the Project Manager to fulfil its duties under the relevant Project Contract.
- PS1-03.10 The *Consultant* leads the coordination and management of design SGAR 5, 6 and 7 in accordance with the *Client's* Project Control Framework,
- PS1-03.11 The *Consultant* directs and manages the Technical Partner who
- acts as custodian of the Project design and undertakes the technical assurance of the designs produced by each of the Project Contractors against the Design Requirements in accordance with the relevant Project Contract,

- undertakes the technical assurance of the design management plans produced by each of the Project Contractors in accordance with the relevant Project Contract and
- maintains and assures the data within the BIM Model produced by the Project Contractors in accordance with the relevant Project Contract Scope.

PS1-03.12 The *Consultant* reviews, assures and ensures that the GIS mapping within design data produced by each of the Project Contractors in accordance with the relevant Project Contract is current at all times.

PS1-03.13 The *Consultant* supports the *Client* and works collaboratively with the Project Contractors during the OCI Phase to mitigate risks and seek efficiencies as the Project Contractors prepare their design, and to optimise permanent and temporary land take within each of the Project Contracts.

PS1-03.14 The *Consultant* is not the principal designer for the purposes of the CDM Regulations.

#### **PS1-04 Review Stages**

PS1-04.1 The *Consultant* reviews the design management and assurance plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the design management and assurance plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated design management and assurance plan to the *Service Manager* for acceptance following the same process as set out in section PS1-02.02

## Schedule PS2 – Project Integrator

### PS2-01 Things to be provided by the *Client*

PS2-01.1 The *Client* provides the following

- the documents entitled
  - “Project Work Breakdown Structure” (WBS),
  - “Project Cost Breakdown Structure” (CBS),
  - “Project Risk Breakdown Structure” (RBS),
  - “Interface Matrix”,
  - “Project Network Operations and Maintenance Strategy”,
  - “DCO Construction Report”,
  - “Project Testing and Commissioning Strategy” and
  - “CIP Planning Manual”

all as identified in **Annex 02**,

- the Project Baseline Programme, and
- details of those duties of the Project Managers which are delegated to the *Consultant*

(see links in **Annex 02**).

PS2-01.2 The *Service Manager* provides to the *Consultant*

- the systems engineering concept of operations, systems architecture, draft minimum operating requirements and systems dependency mapping prepared by the Technical Partner,
- details of interfacing agreements made with the *Client’s* operational teams managing the Strategic Road Network which connects to the Project,
- details of interfacing agreements made with the local authority operational teams managing the Local Road Network which connects to the Project and
- the Project Contract Scopes which identify the interface management requirements which are to be delivered by the Project Contractors

(see links in **Annex 02**).

PS2-01.3 The *Client* leads system integration and undertakes the following roles

- sets the system integration strategy,
- owns the system integration architecture and minimum operating requirements,

- manages all system integration issues with the *Client's* operations directorate, emergency services and Others and
- is accountable for the Tunnel Safety Case under the Road Tunnel Safety Regulations 2007 (see link in **Annex 02**).

## PS2-02 Mobilisation Activities

- PS2-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS2-02.2 The *Consultant* develops a project integration plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that
- it does not comply with section PS2-02.3,
  - it does not allow the interface management requirements to be delivered in accordance with the contract or the Project Contracts or the Ancillary Contracts (as applicable) or
  - it does not facilitate the project integration required by this Schedule PS2 (Project Integrator).
- PS2-02.3 The project integration plan is developed having due regard to the CIP Planning Manual and includes the following
- approach to providing leadership of project integration for the whole Project for the duration of the *service*,
  - approach to driving improvement in project integration for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
  - approach to proactive engagement and collaboration with the *Client* and Others, including the Project Contractors, Ancillary Contractors, Third Parties, the Technical Partner and the Commercial Partner, in project integration in accordance with the relevant Project Contract Scope,
  - processes for assurance and audit of each of the Project Contractors' delivery of interface requirements in accordance with the relevant Project Contract,
  - processes for assurance and audit of each of the Project Contractors' delivery of system integration requirements in accordance with the relevant Project Contract Scope,
  - processes for assurance and audit of each of the Project Contractors' delivery of operations and maintenance requirements in accordance with the relevant Project Contract Scope,
  - processes for producing, maintaining and managing an Integrated Project Programme which contains, at a minimum of WBS Level 3, all activities required to be undertaken by the *Client* and Others, including the Project Contractors, Ancillary Contractors, Third Parties, the *Consultant*, the Technical Partner and the Commercial Partner, which have an interdependency a constraint or an interface,

- processes to ensure that all of the *Consultant's service* delivery activities are separately coded and held as a separate fragment within the Integrated Project Programme,
- processes to provide the *Service Manager* with reports of monthly progress against programme for the *Consultant's service* delivery,
- processes to receive from each Project Contractor its First Accepted Programme and subsequent monthly programme submissions in P6 XER / XML file formats, and to integrate the same into the Integrated Project Programme,
- processes for the management of all Project interdependencies, constraints and interfaces,
- processes for resolution of any interdependencies, constraints and interfaces issues and where the issue requires action beyond the delegation of duties from the Project Manager processes for making recommendations to the Project Manager,
- processes to identify at the earliest possible opportunity, mitigate and manage interdependency, constraint or interface risks,
- processes to ensure the Interface Matrix is current for the whole of the Project,
- processes for the management of multiparty collaboration in accordance with clause X12 of the Project Contracts,
- processes for collaboration with the *Client's* operational teams and local authority operational teams to resolve any interdependencies, constraints and interfaces issues and, where the issue requires action by the *Client*, processes for making recommendations to the *Service Manager*,
- processes for development of the scope for the Intelligent Transport Systems being provided through the *Client's* existing framework contracts and
- processes for development of the interface requirements with the Free Flow Charging Contract.

PS2-03.4 The *Consultant* reviews the Project Baseline Programme, the Interface Matrix, the Testing and Commissioning Strategy and all other relevant documentation provided under the contract and produces an Integrated Project Programme which contains, at a minimum of WBS Level 3 all activities required to be undertaken by the *Consultant*, the *Client* and Others, including the Project Contractors, Ancillary Contractors, Third Parties, the Technical Partner and the Commercial Partner, which have an interdependency a constraint or an interface.

### PS2-03 Delivery Phase Tasks

PS2-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

- PS2-03.2 The *Consultant* Provides the Service in accordance with the accepted project integration plan.
- PS2-03.3 The *Consultant* ensures that each of the Project Contractors deliver the interface management requirements in accordance with the relevant Project Contract Scope.
- PS2-03.4 The *Consultant* ensures the Integrated Project Programme is current for the whole of the Project for the duration of the *service*.
- PS2-03.5 The *Consultant* leads the management of all interdependencies, constraints and interfaces for the whole of the Project for the duration of the *service*.
- PS2-03.6 The *Consultant* works collaboratively and proactively with the *Client* and Others, including the Project Contractors, Ancillary Contractors, Third Parties, the Technical Partner and the Commercial Partner, to resolve any interdependencies, constraints and interface issues. Where resolution of an interdependency, constraint or interface issue requires action beyond the delegation of duties from a Project Manager, the *Consultant* develops solutions and makes recommendations to the relevant Project Manager.
- PS2-03.7 The *Consultant* works collaboratively and proactively with the *Client* and Others, including the Project Contractors, Ancillary Contractors, Third Parties, the Technical Partner and the Commercial Partner, to identify at the earliest possible opportunity, mitigate and manage interdependency, constraint or interface risks.
- PS2-03.8 The *Consultant* ensures that the Interface Matrix is current for the whole of the Project for the duration of the *service*.
- PS2-03.9 The *Consultant* reviews
- the interfacing agreements made with the *Client's* operational teams managing the Strategic Road Network which connects to the Project and
  - the interfacing agreements made with the local authority operational teams managing the Local Road Network which connects to the Project.
- The *Consultant* ensures that all interdependencies, constraints or interfaces generated by those agreements are within the Interface Matrix and provides final interface configuration data to the *Client's* operations directorate on Completion of the whole of the *service*.
- PS2-03.10 The *Consultant* works collaboratively and proactively with the *Client's* operational teams and local authority operational teams to resolve any interdependencies, constraints and interfaces issues. Where resolution of an interdependency, constraint or interface issue requires action by the *Client*, the *Consultant* develops solutions and makes recommendations to the Service Manager.

- PS2-03.11 The *Consultant* works collaboratively with the *Client's* operational teams and local authority operational teams to identify at the earliest possible opportunity, mitigate and manage interdependency, constraint or interface risks.
- PS2-03.12 The *Consultant* supports the *Client* in system integration including
- providing systems engineering expertise to work under the direction of the *Client's* head of systems integration,
  - providing safety case expertise to work under the direction of the *Client's* head of systems integration,
  - management of system integration within the Project in accordance with the Project Network Operations and Maintenance Strategy,
  - assurance of the Project Contractors' system integration duties under the Project Contract Scopes,
  - assurance of the operations and maintenance requirements within the Project Contract Scopes,
  - development of the scope for the Intelligent Transport Systems being provided through the *Client's* existing framework contracts,
  - development of the interface requirements with the Free Flow Charging Contract and
  - testing and commissioning in accordance with the requirements of Schedule PS11 (Testing and Commissioning).

#### **PS2-04 Review Stages**

- PS2-04.1 The *Consultant* reviews the project integration plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the project integration plan to deliver a lean and agile service with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated project integration plan to the *Service Manager* for acceptance following the same process as set out in section PS2-02.2.

## Schedule PS3 – Consents management and discharge

### PS3-01 Things to be provided by the *Client*

- PS3-01.1 The *Client* provides the following
- the Development Consent Order application (and the DCO once received),
  - Project Consents which have been or will be entered into outside of the Development Consent Order,
  - the document entitled “Interface Matrix” as identified in **Annex 02**
  - baseline instrumentation and monitoring data and
  - the Third-Party Agreements
- (see links in **Annex 02** where applicable).
- PS3-01.2 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify the Project Consents management and discharge requirements which are to be delivered by the Project Contractors (see link in **Annex 02**).

### PS3-02 Mobilisation Activities

- PS3-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS3-02.2 The *Consultant* develops a Project Consents management and discharge plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that
- it does not include the matters set out in section PS3-02.3,
  - it does not allow the Project Consents management and discharge requirements to be delivered in accordance with the contract or the Project Contracts (as applicable) or
  - it does not allow the *Client* to meet its obligations under any Project Consent
- PS3-02.3 The Project Consents management and discharge plan includes the following
- approach to providing leadership of Project Consents management and discharge for the whole Project for the duration of the *service*,
  - approach to driving improvement in Project Consents management and discharge for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
  - approach to proactive engagement by the *Consultant* with the Project Contractors to drive high performance against the Project



Consents management and discharge requirements in accordance with the relevant Project Contract Scope,

- approach to driving collaboration between the Project Contractors in the delivery of the Project Consents management and discharge requirements in accordance with the relevant Project Contract Scope,
- approach to integrating the Project Consents management and discharge services with the stakeholder management and communications services,
- programme, approach and processes for managing the discharge of Project Consents that are outside of the Project Contract Scopes,
- processes for integrating, managing and reporting Project Consents management and discharge data for the whole Project,
- processes for maintaining the Project Consents management and discharge baseline data,
- identification of risks to the discharge of Project Consents and obligations and processes to manage and mitigate risks,
- processes for the integration and coordination of the Project Contractors' delivery of Project Consents and requirements in accordance with the relevant Project Contract Scope,
- processes for the allocation, management and coordination of consented activities where the Project Consent creates an interface which requires discharge of the Project Consent by more than one Project Contractor, or where multiple Project Consents create a cumulative impact upon a single receptor during or after construction,
- processes for the review of the Project Contractors' plans for delivery of Project Consents requirements including the requirements set out in the Project Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
- processes for assurance and audit of the Project Contractors' delivery of Project Consents requirements in accordance with the relevant Project Contract Scope, including management of any costs incurred by the Project Contractor in discharging any Project Consent, or costs incurred by any Third Party under a Third Party Agreement which the *Client* is responsible for paying, and reporting of such costs to the *Client*,
- processes for the review of any submissions by the Project Contractors' for a "not environmentally worse than" solution to the discharge of Project Consents requirements and for making recommendations to the Project Managers as to whether the Project Contractors' submissions are to be accepted, rejected with comments or rejected,
- processes for including all Project Consents requirements within the integrated Project programme,

- processes for
    - capturing all Project Consents management and discharge requirements and obligations,
    - configuring all Project Consents management and discharge requirements as follows
      - Category 1 – Project Consents obtained by the *Client* (for example, amendments to the DCO),
      - Category 2 – Project Consents which will be submitted to the relevant Project Manager for acceptance prior to submission to the relevant stakeholder as they are relevant to more than one Project Contract or Ancillary Contract or have long-term liabilities or
      - Category 3 – Project Consents which the Project Contractor submits without any involvement of the relevant Project Manager or the *Client* and
    - managing all Project Consents management and discharge requirements and obligations
- within the Commitments and Requirements Management Tool and
- processes for recording all communications with consenting bodies within the CRM system.

PS3-02.4 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the Project Consents management and discharge requirements within each of the Project Contracts.

PS3-02.5 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS3-03 Delivery Phase Tasks**

PS3-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

PS3-03.2 The *Consultant* Provides the Service in accordance with the accepted Project Consents management and discharge plan.

PS3-03.3 The *Consultant* ensures that each of the Project Contractors delivers the Project Consents management and discharge requirements in accordance with the relevant Project Contract Scope.

PS3-03.4 The *Consultant* ensures that any Project Consent requirements which are outside of the Project Contract Scopes are fully discharged.

PS3-03.5 The *Consultant* reviews the Development Consent Order once granted and any Project Consents and Third Party Agreements which have been entered into outside of the Development Consent Order.

- PS3-03.6 The *Consultant* reviews the Interface Matrix against the Development Consent Order once granted and ensures all Project Consents interfaces are captured and updated within the Interface Matrix.
- PS3-03.7 The *Consultant* reviews the Development Consent Order, the Project Contract Scopes, the Interface Matrix and the Third Party Agreements and prepares a schedule of Project Consents management and discharge requirements which are to be delivered by Ancillary Contractors.
- PS3-03.8 The *Consultant* supports the *Client* during the OCI Phase to optimise the discharge of the Project Consents requirements within each of the Project Contracts.
- PS3-03.9 The *Consultant* supports the *Client* in resolving any disputes which may arise during the discharge of Project Consents.
- PS3-03.10 The *Consultant* prepares pre-consent packs for all Project Consents required by the Development Consent Order and any Project Consents which have been entered into outside of the Development Consent Order to support the efficient mobilisation of the Project Contractors, and issues the pre-consent packs to the Project Contractors.

#### **PS3-04 Review Stages**

- PS3-04.1 The *Consultant* reviews the Project Consents management and discharge plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the Project Consents management and discharge plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated Project Consents management and discharge plan to the *Service Manager* for acceptance following the same process as set out in section PS3-02.2.

## Schedule PS4 – Land Management

### PS4-01 Things to be provided by the *Client*

PS4-01.1 The *Client* provides the following

- the documents entitled
  - “Project Risk and Opportunities Register”,
  - “GIS Service Level Agreement”,
  - “GIS Standards”,
  - “PGN 04 Land and Property Requirements”,
  - “GIS Management Procedures” and
  - “Project Execution Plan Land and Property”

all as identified in **Annex 02**

- the Land-take Requirements as set out within Development Consent Order Submission to PINS,
- the GIS land take mapping,
- the land referencing as set out within Development Consent Order Submission to PINS,
- the forecast of land costs for the Project,
- the budget for land costs for the Project and
- the CRM records and data for land owner communications for the Project

(see links in **Annex 02**).

PS4-01.2 The *Client* leads land management and undertakes the following roles

- ensuring consistency of approach to land management,
- acquisition of all land,
- exercise of compulsory purchase powers under the Development Consent Order,
- arrangement of temporary access to land through licence or lease and
- payment of compensation to affected land owners.

PS4-01.3 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify the land management requirements which are to be delivered by the Project Contractors (see link in **Annex 02**).

### PS4-02 Mobilisation Activities

- PS4-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS4-02.2 The *Consultant* develops a land management plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that
- it does not include the matters set out in section PS4-02.3,
  - it does not allow the land management requirements to be delivered in accordance with the contract or the Project Contracts or the Ancillary Contracts (as applicable) or
  - it does not allow the *Client* to meet its obligations under any Project Consent.
- PS4-02.3 The land management plan includes the following
- approach to driving improvement in land management for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
  - approach to proactive engagement by the *Consultant* with the Project Contractors to drive high performance against the land management requirements in accordance with the relevant Project Contract Scope,
  - approach to driving collaboration between the Project Contractors in the delivery of the land management requirements in accordance with the relevant Project Contract Scope,
  - approach to integrating the land management services with the stakeholder management and communications services,
  - processes for assurance and audit of the Project Contractors' delivery of land management requirements in accordance with the relevant Project Contract Scope,
  - processes for receiving, assuring and managing land management data prepared by the Project Contractors in accordance with the relevant Project Contract Scope,
  - processes for integration and coordination of land access for the Project,
  - processes for the allocation, management and coordination of land access where the access requirements create an interface which requires access by more than one Project Contractor,
  - processes for updating the forecast of land costs for the Project, assuring any forecast costs prepared by the *Client* and ensuring the forecast is current at all times and updated within Prism.
  - processes for managing land acquisition and disposal,
  - processes for handover of land to Project Contractors and for hand back,
  - processes for

- capturing all Project land management requirements and obligations and
  - managing all Project land management requirements and obligations
- within the Commitments and Requirements Management Tool,
- processes for including all land management requirements within the integrated Project programme and
  - processes for recording all correspondence or other communications with land owners in the CRM system.
- PS4-02.4 The *Consultant* supports the *Client* during procurement of the Project Works to
- negotiate and finalise the land take requirements within each of the Project Contracts and
  - review and agree the land access programme within each of the Project Contracts.
- PS4-02.5 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS4-03 Delivery Phase Tasks**

- PS4-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- PS4-03.2 The *Consultant* Provides the Service in accordance with the accepted land management plan.
- PS4-03.3 The *Consultant* leads and manages the coordination of land access for the Project.
- PS4-03.4 The *Consultant* leads and manages the provision of land access for the Ancillary Contractors.
- PS4-03.5 The *Consultant* ensures that each of the Project Contractors delivers the land management requirements in accordance with the relevant Project Contract Scope.
- PS4-03.6 The *Consultant* supports the *Client* in the acquisition and disposal of land including
- preparing and implementing commercial strategies for landowners,
  - negotiating with land owners where land is acquired by agreement,
  - negotiating with land owners where land is acquired on a temporary basis,
  - negotiating with land owners where betterment or deferred renewal has been provided as part of a commercial strategy.

- preparing and implementing strategies for resolution of disputes should they arise,
- providing the plans required to accompany the *Client's* statutory notices for land acquisition,
- advising on valuations prepared by the district valuer and
- advising on commercial strategies to maximise the value of land disposals.

- PS4-03.7      The *Consultant* reviews and updates the land referencing every 3 months.
- PS4-03.8      The *Consultant* reviews, maintains and ensures that the GIS land take mapping is current at all times.
- PS4-03.9      The *Consultant* supports the *Client* during the OCI Phase to seek efficiencies in the land take requirements as the Project Contractors prepare their respective designs, and to optimise permanent and temporary land take within each of the Project Contracts.
- PS4-03.10     The *Consultant* updates and maintains the forecast of land costs for the Project, assures any forecast costs prepared by the *Client*, ensures that the forecast is current at all times and provides monthly reports of any variance in land costs for each Project Contract with reasons for the variance and corrective actions planned for any upwards trends in land costs and updates the forecast within Prism.

#### **PS4-04 Review Stages**

- PS4-04.1      The *Consultant* reviews the land management plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the land management plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated land management plan to the *Service Manager* for acceptance following the same process as set out in section PS4-02.2.

## Schedule PS5 – Environmental and Sustainability Management

### PS5-01 Things to be provided by the *Client*

- PS5-01.1 The *Client* provides the following the documents entitled
- “Sustainability and Benefits Statement” (including environmental management plan),
  - “Sustainable Development Strategy”,
  - “Carbon Tool”,
  - “Responsible Sourcing Strategy within Development Consent Order Submission to PINS”,
  - “Carbon and Energy Plan” (including the “PAS 2080” carbon reduction performance matrix).
  - “GG 103 Introduction and General Requirements for Sustainable Development and Design”.
  - “Environment Strategy”,
  - “Environmental Aspects and Impacts Identification Register”,
  - “Environmental Compliance Obligations”
  - “GG103 Introduction and General Requirements for Sustainable Development and Design”
- all as identified in **Annex 02** and
- the DCO application (and the Development Consent Order Submission to PINS itself when awarded)
- PS5-01.2 The *Service Manager* provides to the *Consultant* the SGAR 3 report detailing all environmental and sustainability management PCF products and other products which have been assured as part of the Design for the Development Consent Order (see link in **Annex 02**).
- PS5-01.3 The *Service Manager* provides to the *Consultant* the following information, collated by the Technical Partner
- the environmental baseline instrumentation and monitoring data,
  - 
  - the environmental and sustainability management risk report and
  - the environmental layers from the BIM Model and GIS Model
- (see link in **Annex 02**).
- PS5-01.4 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify the environmental and sustainability management



requirements which are to be delivered by the Project Contractors (see link in **Annex 02**).

## **PS5-02 Mobilisation Activities**

- PS5-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS5-02.2 The *Consultant* develops an environmental and sustainability management plan for the Project in accordance with sections S517 and S535 and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that
- it does not comply with sections S517 and S535,
  - it does not include the matters set out in section PS5-02.3,
  - it does not allow the environmental and sustainability management requirements to be delivered in accordance with the contract or the Project Contracts (as applicable) or
  - it does not allow the *Client* to meet its obligations under any Project Consent.
- PS5-02.3 The environmental and sustainability management plan includes the following
- approach to providing leadership of environmental and sustainability management for the whole Project for the duration of the *service*,
  - approach to driving improvement in environmental and sustainability management for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
  - approach to proactive engagement by the *Consultant* with the Project Contractors to drive high performance against the environmental and sustainability management requirements in accordance with the Project Contract Scopes,
  - approach to driving collaboration between each of the Project Contractors in the delivery of the environmental and sustainability management requirements in accordance with the relevant Project Contract Scope,
  - approach to integrating the environmental and sustainability management services with the stakeholder management and communications services,
  - programme, approach and processes for managing the discharge of environmental and sustainability management obligations that are outside of the Project Contract Scopes,
  - processes for integrating, managing and reporting environmental and sustainability management data for the whole Project,
  - processes for maintaining the environmental and sustainability management baseline data,

- identification of risks to the discharge of environmental and sustainability management obligations and processes to manage and mitigate risks,
- processes for the integration and coordination of each of the Project Contractors' delivery of environmental and sustainability management requirements in accordance with the relevant Project Contract Scope,
- processes for the allocation, management and coordination of environmental and sustainability management activities where the environmental and sustainability management creates an interface which requires management of environmental and sustainability obligations by more than one Project Contractor or where multiple Project Contracts create a cumulative impact upon a single receptor during or after construction,
- processes for the review of the Project Contractors' plans for delivery of environmental and sustainability management requirements including responsible sourcing, carbon management, operational energy efficiencies, circular economy, code of construction practice within the Project Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
- processes for assurance and audit of the Project Contractors' delivery of environmental and sustainability management requirements in accordance with the relevant Project Contract Scope,
- processes and workflows to plan, coordinate and manage Project Contractors' environmental and sustainability management deliverables required under the Project Scopes to meet the *Client's* PCF SGAR requirements,
- processes for the review of any submissions by the Project Contractors for a "not environmentally worse than" solution to the environmental and sustainability management requirements and for making recommendations to the Project Managers as to whether the Project Contractors' submissions are to be accepted, rejected with comments or rejected,
- processes for including all environmental and sustainability management requirements within the Integrated Project Programme,
- processes for recording all communications with environmental and sustainability management stakeholders within the CRM system,
- processes for optimising the delivery of the environmental and sustainability management requirements within each of the Project Contracts during the OCI Phase,
- processes to engage with environment and sustainability stakeholders to develop best practice initiatives for environmental and sustainability management,

- processes for including all environmental and sustainability management requirements within the Integrated Project Programme and
- processes for
  - capturing all Project environmental and sustainability management requirements and obligations and
  - managing all environmental and sustainability management requirements and obligations
 within the Commitments and Requirements Management Tool.

PS5-02.4 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the environmental and sustainability management requirements within each of the Project Contracts.

PS5-02.5 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS5-03 Delivery Phase Tasks**

PS5-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

PS5-03.2 The *Consultant* Provides the Service in accordance with the accepted environmental and sustainability management plan.

PS5-03.3 The *Consultant* ensures that each of the Project Contractors delivers the environmental and sustainability management requirements in accordance with the relevant Project Contract Scope.

PS5-03.4 The *Consultant* ensures that all environmental and sustainability management requirements that are outside of the Project Contract Scopes are discharged.

PS5-03.5 The *Consultant* reviews the Development Consent Order once granted and any consents or obligations which have been or will be entered into outside of the Development Consent Order and ensures that all environmental and sustainability management obligations are captured within the Commitments and Requirements Management Tool.

PS5-03.6 The *Consultant* reviews the Development Consent Order, the Project Contract Scopes and the Interface Matrix and prepares a schedule of environmental and sustainability management requirements which are to be delivered by Ancillary Contractors.

PS5-03.7 The *Consultant* supports the *Client* in responding to any environmental incidents and manages and coordinates any actions required from the Project Contractors. The Consultant coordinates the response as part of its obligations to provide crisis communications under Schedule CS2 (Communications and Stakeholder Management).

- PS5-03.8 The *Consultant* reviews the Interface Matrix against the Development Consent Order once granted and ensures that all environmental and sustainability management interfaces are captured and updated within the Interface Matrix.
- PS5-03.9 The *Consultant* supports the *Client* during the OCI Phase to optimise the delivery of the environmental and sustainability management requirements within each of the Project Contracts.
- PS5-03.10 The *Consultant* supports the *Client* in resolving any disputes which may arise during the discharge of the environmental and sustainability management requirements.
- PS5-03.11 The *Consultant* prepares applications for Designated Funds where required by the *Service Manager*.

#### **PS5-04 Review Stages**

- PS5-04.1 The *Consultant* reviews the environmental and sustainability management plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the environmental and sustainability management plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated environmental and sustainability management plan to the *Service Manager* for acceptance following the same process as set out in section PS5-02.2.

## Schedule PS6 – Early Works Coordination

### PS6-01 Things to be provided by the *Client*

- PS6-01.1 The *Client* provides the document entitled “Interface Matrix” (see link in **Annex 02**).
- PS6-01.2 The *Service Manager* provides to the *Consultant* copies of each task order issued for pre-enabling works in relation to the Project (the “Pre-Enabling Works Task Orders”) (see link in **Annex 02**).
- PS6-01.3 The Technical Partner is responsible for managing the delivery of the Pre-Enabling Works Task Orders and for all contract and commercial management of pre-enabling works for the Project.

### PS6-02 Mobilisation Activities

- PS6-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS6-02.2 The *Consultant* reviews the Interface Matrix against the Pre-Enabling Works Task Orders and ensures any interfaces with the Project Contracts are captured and updated within the Interface Matrix.
- PS6-02.3 The *Consultant* reviews the Pre-Enabling Works Task Orders and ensures that any dependencies between the pre-enabling works and the Project Contracts are included within the Integrated Project Programme.
- PS6-02.4 From the date on which the *Service Manager* accepts the PMO and Integrated Project Controls plan to be developed by the *Consultant* in accordance with Schedule CS3 (Project Management Office including Integrated Project Controls), the *Consultant* assures, integrates and includes within its Project reports systems, the progress, risk, commercial and contract management data for the Pre-Enabling Works Task Orders provided by the Technical Partner.

### PS6-03 Delivery Phase Tasks

- PS6-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- PS6-03.2 The *Consultant* assures, integrates and includes within its Project reports systems, the progress, risk, commercial and contract management data for the Pre-Enabling Works Task Orders provided by the Technical Partner.

## Schedule PS7 – Utilities Management and Third Party Agreements Support

### PS7-01 Things to be provided by the *Client*

PS7-01.1 The *Client* provides the following

- the Development Consent Order (once granted),
- Third Party Agreements which have been or will be entered into outside of the Development Consent Order,
- the document entitled “Interface Matrix” identified in **Annex 02**,
- baseline instrumentation and monitoring data,
- details of those duties of the “Service Manager” under the Commercial Partner Contract which will be delegated to the *Consultant* and
- details of those duties of the “Employer’s Agent” under the Technical Partner Contract which will be delegated to the *Consultant*

(see links in **Annex 02**).

PS7-01.2 The *Service Manager* provides to the *Consultant*

- the SGAR 3 report detailing all Third Party coordinated design products which have been assured as part of the Design for the Development Consent Order,
- a report detailing all Third Party coordinated design products which have been developed by the Technical Partner or by Third Parties subsequent to SGAR 3,
- details of all possessions, outages, diversions, strengthening, protection measures, enhancements or renewals which are agreed with the Third Parties and
- the Project Contract Scopes which identify the utilities management, non-contestable utility diversions design and other requirements of the Third Party Agreements (the “Third Party Requirements”) which are to be delivered by the Project Contractors (see link in **Annex 02**).

### PS7-02 Mobilisation Activities

PS7-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.

PS7-02.2 The *Consultant* develops a Third Party Requirements plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that

- it does not include the matters set out in section PS7-02.3,
- it does not allow the Third Party Requirements to be delivered in accordance with the contract or the Project Contracts (as applicable) or

- it does not allow the *Client* to meet its obligations under any Third Party Agreement

PS7-02.3 The Third Party Requirements plan includes the following

- approach to providing leadership of the delivery of Third Party Requirements for the whole Project for the duration of the *service*,
- approach to collaborative working by the *Consultant* with the Technical Partner and Commercial Partner to drive high performance in any works required under the Third Party Agreements and which do not form part of the Project Scopes for the whole Project for the duration of the *service*,
- approach to driving improvement in and the delivery of Third Party Requirements for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to drive high performance in the delivery of the Third Party Requirements in accordance with the relevant Project Contract Scope,
- approach to driving collaboration between the Project Contractors in the delivery of the Third Party Requirements in accordance with the Project Contract Scopes,
- approach to driving collaboration between the Project Contractors in the management of interfaces within the Third Party Requirements in accordance with the Project Contract Scopes,
- approach to integrating the Third Party Requirements with the stakeholder management and communications services,
- processes for the review of the Project Contractors' plans for delivery of the Third Party Requirements in accordance with the Project Contract Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
- processes for receiving, assuring and managing design submissions made in accordance with the Third Party Agreements which require "approval in principle" under duties delegated to the Technical Partner by the *Client's* standards and engineering services directorate,
- processes for assurance and audit of each of the Project Contractors' delivery of Third Party Requirements in accordance with the relevant Project Contract Scope,
- processes for integrating, managing and reporting Third Party Requirements data for the whole Project,
- processes for maintaining the Third Party Requirements baseline data,
- identification of risks to compliance with Third Party Requirements and processes to manage and mitigate risks,

- processes for the integration and coordination of the Project Contractors' delivery of Third Party Requirements in accordance with the Project Contract Scopes,
- processes for the allocation, management and coordination of activities related to the delivery of any Third Party Requirements where there is an interface which requires discharge of the Third Party Requirement by more than one Project Contractor,
- processes for including all Third Party Requirements within the Integrated Project Programme,
- processes for recording all communications with consenting bodies within the CRM system,
- processes to manage any works required by the Third Party Agreements and which do not form part of the Project Contract Scopes,
- processes to review the Interface Matrix against the Development Consent Order once granted and any Third Party Agreements which have been entered into outside of the Development Consent Order and to ensure that all Third Party interfaces are captured and updated within the Interface Matrix,
- processes to support the *Client* during procurement of the Project Works to negotiate and finalise the Third Party Requirements within each of the Project Contracts,
- processes to support the *Client* during the OCI Phase to optimise the delivery of the Third Party Requirements within each of the Project Contracts,
- processes to support the *Client* in resolving any disputes which may arise during the discharge of Third Party Requirements,
- processes to support the *Client* in managing corporate and Project relationships with statutory undertakers and other Third Parties,
- service level agreements for the Technical Partner to ensure that all coordinated design and technical assurance of the design produced by the Third Parties are reviewed and recommendations made to the *Client* in a timely manner to allow the *Client* to fulfil its obligations under the Third Party Agreements,
- service level agreements for the Commercial Partner to ensure that all commercial management for all Third Party Agreements, administration and assurance of the applications for payment for all Third Party Agreements and cost assurance and audit of cost under the Third Party Agreements are reviewed and recommendations made to the *Client* in a timely manner to allow the *Client* to fulfil its obligations under the Third Party Agreements and
- processes for
  - capturing all Third Party Requirements and
  - managing all Third Party Requirements
 within the Commitments and Requirements Management Tool.



- PS7-02.4 The *Consultant* supports the *Client* to negotiate and finalise any Third Party Agreements outstanding at the time of submission of the DCO application.
- PS7-02.5 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the Third Party Requirements, including the non-contestable utility diversions, within each of the Project Contracts.
- PS7-02.6 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS7-03 Delivery Phase Tasks**

- PS7-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- PS7-03.2 The *Consultant* Provides the Service in accordance with the accepted Third Party Requirements plan.
- PS7-03.3 The *Consultant* ensures that each of the Project Contractors delivers the Third Party Requirements in accordance with the relevant Project Contract Scope.
- PS7-03.4 The *Consultant* directs and manages the Commercial Partner who
- provides the commercial management for all Third Party Agreements,
  - administers and assures the applications for payment under all Third Party Agreements and makes recommendations to the *Client* and
  - undertakes cost assurance and audit of cost under the Third Party Agreements.
- PS7-03.5 The *Consultant* directs and manages the Technical Partner who undertakes the technical assurance and integration of any designs produced by the Third Parties. The Project Contractors are responsible for the incorporation of Third Party Requirements into their design as set out within the Project Contract Scopes.
- PS7-03.6 The *Consultant* supports the *Client* to negotiate and finalise any remaining Third Party Agreements outstanding at the time of submission of the DCO application.
- PS7-03.7 The *Consultant* leads and manages any works required by the Third Party Agreements which do not form part of the Project Contract Scopes.
- PS7-03.8 The *Consultant* reviews the Development Consent Order once granted and any Third Party Agreements which are entered into outside of the Development Consent Order and ensures that all Third Party Requirements are captured within the Commitments and Requirements Management Tool.
- PS7-03.9 The *Consultant* reviews the Interface Matrix against the Development Consent Order once granted and any Third Party Agreements which are entered into outside of the Development Consent Order and ensures that all

interfaces between any non-contestable utility diversions or other works required pursuant to a Third Party Agreement, or between such works and the Project Works, are captured and updated within the Interface Matrix.

PS7-03.10 The *Consultant* supports the *Client* during the OCI Phase to optimise the delivery of the Third Party Requirements within each of the Project Contracts.

PS7-03.11 The *Consultant* supports the *Client* in resolving any disputes which may arise during the discharge of the Third Party Requirements.

#### **PS7-04 Review Stages**

PS7-04.1 The *Consultant* reviews the Third Party Requirements plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the Third Party Requirements plan to deliver a lean and agile service with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated Third Party Requirements plan to the *Service Manager* for acceptance following the same process as set out in section PS7-02.2.

## Schedule PS8 – Contract Management

### PS8.01 Things to be provided by the *Client*

PS8-01.1 The *Client* provides the following

- the Project Contracts,
- the Project Budget,
- details of those duties of the Project Manager under the Project Contracts which will be delegated to the *Consultant*,
- details of those duties of the “Service Manager” under the Commercial Partner Contract which will be delegated to the *Consultant* and
- a draft Project contract management plan covering each of the Project Contracts

(see links in **Annex 02**).

PS8-01.2 The *Client* leads contract management for the Project and undertakes the following roles

- the *Client*’s Contract Director for each Project Contract will act as the Project Manager,
- save in relation to any specific Project Manager functions which are delegated to the *Consultant*, the *Client* is responsible for approval of all contract communications through CEMAR and
- the *Client*’s Commercial Director for each Project Contract will direct and approve all commercial matters including applications for payment under the Project Contracts and the Ancillary Contracts

(see links in **Annex 02**).

PS8-01.3 The *Service Manager* provides to the *Consultant*

- the SGAR 3 report detailing all cost, schedule, risk and opportunity PCF products and other products which have been assured as part of the Design for the Development Consent Order,
- the Target Budget for each of the Project Contracts,
- the Project Contracts which identify the Strategic Risk Events which remain the *Client*’s risk under the Project Contracts and
- the Project Contract Scopes which identify the contract management requirements which are to be complied with by the Project Contractors

(see link in **Annex 02**).

## PS8-02 Mobilisation Activities

- PS8-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS8-02.2 The *Consultant* develops a contract management plan for the *service* and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that
- it does not include the matters set out at section PS8-02.3 or
  - it does not allow the contract management requirements to be delivered in accordance with the contract or the Project Contracts (as applicable)
- PS8-02.3 The *service* contract management plan includes the following
- approach to providing leadership of contract management for the whole Project for the duration of the *service*,
  - approach to driving improvement in contract management for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
  - approach to proactive engagement by the *Consultant* with each of the Project Contractors and Ancillary Contractors to drive high performance against the contract management requirements in accordance with the relevant Project Contract Scope,
  - approach to the early identification of potential disputes to maximise the time available to mitigate and manage issues giving rise to the potential dispute,
  - approach to supporting the Project Manager and working collaboratively with the Project Contractors to develop any mitigations that may be required should any Project Contractor's Forecast of Defined Cost indicate that the Target Budget is likely to be exceeded,
  - approach to collaborative working by the *Consultant* with the Commercial Partner to drive high performance in contract management for the whole Project for the duration of the *service*,
  - processes and workflows for contract management of the Project Contracts and the Ancillary Contracts s including workflows for receipt of and issue of contractual communications using CEMAR and associated attachments via the EDMS,
  - processes for the review of the Project Contractors' plans for delivery of contract management requirements in accordance with the Project Contract Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
  - processes for change management for the Ancillary Contracts and for any claims for Strategic Risk Events under the Project Contracts,

- processes for cost management of any Strategic Risk Events under the Project Contracts,
- processes for reviewing and assuring the Project Contractors' Forecasts of Defined Cost and making recommendations to the Project Manager as to whether any Project Contractor's Forecast of Defined Cost are to be accepted, rejected with comments or rejected and
- processes to manage the compilation of the contract documents for each of the Project Contracts in order to capture and configure the outcomes from the procurement process.

PS8-02.4 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the contract management requirements within each of the Project Contracts.

PS8-02.5 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

PS8-02.6 The *Consultant* reviews and supports the *Client* to finalise the Project contract management plan.

### **PS8-03 Delivery Phase Tasks**

PS8-03.1 The *Consultant* provides the following services during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

PS8-03.2 The *Consultant* Provides the Service in accordance with the accepted service contract management plan.

PS8-03.3 The *Consultant* ensures that each of the Project Contractors comply with the contract management requirements in accordance with the relevant Project Contract Scope.

PS8-03.4 The *Consultant* provides the contract management and contract administration for the Project Contracts and the Ancillary Contracts in accordance with the finalised Project contract management plan. The *Consultant* ensures that the Project Manager has all data and advice required to meet the "periods for reply" set out within the Project Contracts. In relation to any specific Project Manager functions which are delegated to the *Consultant*, the *Consultant* is responsible for approval of all contract communications through CEMAR.

PS8-03.5 The *Consultant* provides the change management for the Ancillary Contracts and management of any claims for Strategic Risk Events under the Project Contracts.

PS8-03.6 The *Consultant* develops dispute avoidance strategies for the Ancillary Contracts and the Project Contracts and supports the *Client* to manage and resolve any disputes which may arise under those contracts.

- PS8-03.7 The *Consultant* directs the day to day activities of the Commercial Partner (without assuming any contract administration function in respect of the Commercial Partner Contract) who
- provides the commercial management for all Ancillary Contracts
  - administers and assures the Ancillary Contract applications for payment and makes recommendations to the Project Manager
  - undertakes cost assurance and audit of defined cost under the Ancillary Contracts
  - administers and assures the Project Contract applications for payment and makes recommendations to the Project Manager
  - undertakes cost assurance and audit of defined cost under the Project Contracts and
  - provides cost management of any claims for Strategic Risk Events under the Project Contracts
- PS8-03.8 The *Consultant* reviews and assures each Project Contractor's Forecasts of Defined Cost and makes recommendations to the Project Manager as to whether the each Forecast of Defined Cost is to be accepted, rejected with comments or rejected.
- PS8-03.9 The *Consultant* supports the Project Manager and works collaboratively with the Project Contractors to develop any mitigations that may be required should any Forecast of Defined Cost indicate that the Target Budget is likely to be exceeded
- PS8-03.10 The *Consultant* provides an induction training and education programme for the Project Contractors on the workflows and systems in the Project contract management plan.

#### **PS8-04 Review Stages**

- PS8-04.01 The *Consultant* reviews the *service* contract management plan prior to the start of each Review Stage and, at the start of each Review Stage, and makes recommendations for changes to the *service* contract management plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated *service* contract management plan to the *Service Manager* for acceptance following the same process as set out in section PS8-02.2

## Schedule PS9 – Construction Delivery

### PS9-01 Things to be provided by the *Client*

PS9-01.1 The *Client* provides the following

- the documents entitled
  - “Project Work Breakdown Structure” (WBS),
  - “Project Cost Breakdown Structure” (CBS),
  - “Project Risk Breakdown Structure” (RBS) and
  - “CIP Planning Manual”

all as identified in **Annex 02**,

- the DCO Construction Report,
- the Project Baseline Programme,
- details of those duties of the Project Manager under the Project Contracts which will be delegated to the *Consultant*,
- details of those duties of the Supervisor under the Project Contracts which will be delegated to the *Consultant* and
- details of those duties of the “Employer’s Agent” under the Technical Partner Contract which will be delegated to the *Consultant*

(see links in **Annex 02**).

PS9-01.2 The *Service Manager* provides the following

- the Project WBS coding requirements,
- the Project site based production metrics and
- the Project Contracts which identify the programme and reporting requirements which are to be delivered by each of the Project Contractors in accordance with the relevant Project Contract

(see links in **Annex 02**).

### PS9-02 Mobilisation Activities

PS9-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.

PS9-02.2 The *Consultant* develops a programme and reporting management plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that

- it does not comply with section PS9-02.3 or
- it does not allow the programme and reporting requirements to be delivered in accordance with the contract or the Project Contracts (as applicable).

PS9-02.3 The programme and reporting management plan is developed having due regard to the CIP Planning Manual includes the following

- approach to providing leadership of programme and reporting management for the whole Project for the duration of the *service*,
- approach to driving improvement in programme and reporting management for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to drive high performance against the programme and reporting management requirements in accordance with the relevant Project Contract,
- approach to collaboration with each of the Project Contractors throughout the duration of the Project Contracts to seek opportunities to create float within their respective programmes,
- processes and workflows to plan, coordinate and manage each of the Project Contractors' programme and reporting management deliverables required under the Project Contracts,
- processes for the review of the Project Contractors' plans for delivery of programme and reporting requirements in accordance with the Project Contracts and for making recommendations to each of the Project Managers as to whether the relevant Project Contractor's plans are to be accepted, rejected with comments or rejected,
- processes for the review of each of the Project Contractors' first submitted programmes and for making recommendations to the relevant Project Manager as to whether a Project Contractor's first submitted programme are to be accepted as the First Accepted Programme, rejected with comments or rejected,
- processes for the review of monthly programme progress submissions against each of the Project Contractors' First Accepted Programme and for making recommendations to the relevant Project Manager as to whether a Project Contractor's programme progress submissions are to be accepted, rejected with comments or rejected,
- processes for coordinating and optimising the Project Contractors' logistics plans including seeking and realising opportunities for joint logistics planning and delivery across the Project Contracts,
- processes for the use of appropriate data cleansing tools to maintain data integrity,
- processes for performing the Supervisor functions including those which are to be performed by Technical Partner and
- service level agreements for the Technical Partner to ensure that all Supervisor functions to be performed by Technical Partner are performed in a timely manner to allow the *Client* to fulfil its duties under the relevant Project Contract.



- PS9-02.4 Within 45 working days of the *starting date* the *Consultant* undertakes a review of the following elements of the Project Baseline Programme and DCO Construction Report
- earthworks strategy,
  - haul routes, access points and compound locations,
  - traffic management strategy,
  - logistics strategy,
  - construction phasing and sequencing including utility diversions and relocations,
  - assumptions log and site based production metrics,
  - temporary works and ground treatment and
  - TBM launch strategy and launch structures
- and provides a report to the *Service Manager* detailing any areas where the *Consultant* believes there is opportunity for improving the deliverability of the Project Baseline Programme.
- PS9-02.5 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the programme and reporting requirements within each of the Project Contracts.
- PS9-02.6 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the following
- earthworks strategy,
  - haul routes, access points and compound locations,
  - traffic management strategy,
  - logistics strategy,
  - construction phasing and sequencing including utility diversions and relocations,
  - assumptions log and site based production metrics,
  - temporary works and ground treatment and
  - TBM launch strategy and launch structures.
- PS9-02.7 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS9-03 Delivery Phase Tasks**

- PS9-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

- PS9-03.2 The *Consultant* Provides the Service in accordance with the accepted programme and reporting management plan.
- PS9-03.3 The *Consultant* ensures that each of the Project Contractors delivers the programme and reporting requirements in accordance with the relevant Project Contract.
- PS9-03.4 The *Consultant* performs all of the functions of the Supervisor under each of the Project Contracts with the exception of those functions which are performed by Technical Partner as set out in section PS9-03.6 (unless the *Consultant* is instructed otherwise in any Task Order).
- PS9-03.5 The *Consultant* directs and manages the Technical Partner in its performance of the functions of the Supervisor which are delegated to it.
- PS9-03.6 The Technical Partner performs the following Supervisor functions
- review and acceptance of Project Contractor TBM, de-sanding plant, slurry treatment plant, arisings handling plant, segment handling plant and segment manufacture proposals,
  - factory inspections and supervision of assembly of tunnel boring machine, de-sanding plant, slurry treatment plant, arisings handling plant, segment handling plant,
  - review and acceptance of all TBM launch methodology and associated dewatering or ground treatment proposals,
  - review and acceptance of all method statements for tunnelling and cross passage activities including ground treatment,
  - supervision of tunnel construction and
  - all matters relating to High Pressure Compressed Air working (HCPA).
- PS9-03.7 The *Consultant* reviews and assures each programme and revision thereof submitted by each of the Project Contractors throughout the duration of the Project Contracts and makes recommendations to each Project Manager as to whether the relevant Project Contractor's programme (or revised programme) are to be accepted, rejected with comments or rejected.
- PS9-03.8 The *Consultant* works collaboratively with the Project Contractors throughout the duration of the Project Contracts to seek opportunities to create float within their respective programmes.
- PS9-03.9 The *Consultant* provides a training and education programme for the Integrated Client Team based on the programme and reporting management plan.
- PS9-03.10 The *Consultant* provides a training and education programme for the Project Contractors on the workflows and systems in the programme and reporting management plan.
- PS9-03.11 The *Consultant* supports the *Client* by participating in and contributing to lessons learned and best practice sharing across the *Client's* CIP projects.

## PS9-04 Review Stages

- PS9-04.1 The *Consultant* reviews the programme and reporting management plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the programme and reporting management plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated programme and reporting management plan to the *Service Manager* for acceptance following the same process as set out in section PS9-02.2.

## Schedule PS10 – Risk and Opportunity Management

### PS10-01 Things to be provided by the *Client*

PS10-01.1 The *Client* provides the following

- the documents entitled
  - “Project Risk and Opportunities Register”,
  - “Major Projects Risk Management Manual”,
  - “Project Issues Management and Risk Forecasting Strategy”,
  - “Risk Management Strategy” and
  - “Risk Management Plan”

all as identified in **Annex 02**,

- the Project Budget,
- details of those duties of each of the Project Managers which are to be delegated to the *Consultant* and
- details of those duties of the “Service Manager” for the Commercial Partner which are to be delegated to the *Consultant*

(see links in **Annex 02**).

PS10-01.2 The *Service Manager* provides the following

- the SGAR 3 report detailing all cost, schedule, risk and opportunity PCF products and other products which have been assured as part of the Design for the Development Consent Order,
- the Risk Quota for each of the Project Contracts,
- the Project Contracts which identify the Strategic Risk Events which remain the *Client*’s risk under each Project Contract,
- the risk data for the Project which is held within the Xactium system and
- the Project Contract Scopes which identify the risk and opportunity management requirements which are to be delivered by the Project Contractors

(see links in **Annex 02**).

### PS10-02 Mobilisation Activities

PS10-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.

PS10-02.2 The *Consultant* develops a risk and opportunity management plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that

- it does not include the matters set out in section PS10-02.3 or
- it does not allow the risk and opportunity management requirements to be delivered in accordance with the contract or the Project Contracts (as applicable)

PS10-02.3 The risk and opportunity management plan includes the following

- approach to the early identification of emerging risk to maximise the time available to mitigate and manage risks,
- approach to providing leadership of risk and opportunity management for the whole Project for the duration of the *service*,
- approach to driving improvement in risk and opportunity management for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- approach to managing risk and opportunity management for all Project activities which are not carried out by the Project Contractors and do not form part of any Project Contract Scope,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to drive high performance against the risk and opportunity management requirements in accordance with the relevant Project Contract Scope,
- processes and workflows to plan, coordinate and manage Project Contractors' risk and opportunity management deliverables required under the Project Scopes to meet the *Client's* PCF SGAR requirements,
- processes and workflows for each of the Project Contractors to submit its risk and opportunity management deliverables required under its Project Contract Scope to the relevant Project Manager, including workflows for early warning notices and issue of contractual communications using CEMAR,
- processes for the review of the Project Contractors' plans for delivery of risk and opportunity management requirements in accordance with each of the Project Contract Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
- processes for mitigation and management of all Project risk and for realising all Project opportunities which are not managed by the Project Contractors,
- processes to drive collaboration with the Project Contractors during the Project Works to analyse leading indicators, identify, interrogate, mitigate and manage risks and seek efficiencies within each of the Project Contracts,
- processes for managing early warning notices under the Project Contracts where new emerging risks are identified,
- processes to review and assure the risk and opportunity provisions within each Forecast of Defined Cost and to make

recommendations to each Project Manager as to whether the Project Contractors' risk and opportunity provisions within any Forecast of Defined Cost are to be accepted, rejected with comments or rejected,

- processes for assuring, integrating, managing and reporting risk and opportunity management data within Xactium for the Project Contracts and for the whole Project,
- processes and tools for running QSRA and QCRA for the Project Contracts and for the whole Project,
- processes for risk reduction meetings and
- processes for reporting current risk exposure and opportunities including within the Risk Quotas, new risks, risks retired, changes to risk profile and impacts.

- PS10-02.4 The *Consultant* reviews the Development Consent Order submission and any Third Party Agreements and Project Consents which are proposed to be entered into outside of the Development Consent Order and ensures that all risks are captured within Xactium.
- PS10-02.5 The *Consultant* undertakes a review of Project risk including all SGAR 3 products for the Project and ensures that all risks are captured within Xactium.
- PS10-02.6 The *Consultant* reviews the "Major Projects Risk Management Manual" and makes recommendations to the *Service Manager* on any adaptations and alterations which are necessary to meet the risk and opportunity management requirements set out within the Project Contracts.
- PS10-02.7 The *Consultant* reviews the Project Contracts, the Strategic Risk Events and the Xactium data and configures Xactium to clearly identify the Project risks, including land, stakeholder and operational risk, which remain with the *Client* and are not managed by the Project Contractors.
- PS10-02.8 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the Risk Quota and the risk and opportunity management requirements within each of the Project Contracts.
- PS10-02.9 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS10-03 Delivery Phase Tasks**

- PS10-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.
- PS10-03.2 The *Consultant* Provides the Service in accordance with the accepted risk and opportunity management plan.

- PS10-03.3 The *Consultant* ensures that each of the Project Contractors delivers the risk and opportunity management requirements in accordance with the relevant Project Contract Scope.
- PS10-03.4 The *Consultant* reviews the Development Consent Order once granted and any Third Party Agreements and Project Consents which have been entered into outside of the Development Consent Order and ensures that all risks are captured within Xactium.
- PS10-03.5 The *Consultant* mitigates and manages all Project risk and realises all Project opportunities which are not managed by the Project Contractors.
- PS10-03.6 The Project Contractors are responsible for, and incentivised to, manage and mitigate risk and realise opportunities which are within the Project Contracts. The Project Contractors provide their risk and opportunity data using Xactium.
- PS10-03.7 The *Consultant* works collaboratively with the Project Contractors during the Project Works to identify, mitigate and manage risks and seek efficiencies within each of the Project Contracts.
- PS10-03.8 The *Consultant* directs and manages the Commercial Partner who
- reviews and assures the Risk Quota for each of the Project Contracts provided by the *Service Manager*,
  - reviews and assures the cost risk data provided each of the Project Contractors in accordance with the relevant Project Contract Scope and
  - provides cost risk data for all Project risk
- PS10-03.9 The *Consultant* reviews and assures the risk and opportunity provisions within each Forecast of Defined Cost and makes recommendations to the Project Managers as to whether the Project Contractors' risk and opportunity provisions within each Forecast of Defined Cost are to be accepted, rejected with comments or rejected.
- PS10-03.10 The *Consultant* provides an induction training and education programme for the Project Contractors based on the risk and opportunity management plan and the workflows and systems within the plan.

#### **PS10-04 Review Stages**

- PS10-04.1 The *Consultant* reviews the risk and opportunity management plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the risk and opportunity management plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated risk and opportunity management plan to the *Service Manager* for acceptance following the same process as set out in section PS10-02.2.

## Schedule PS11 – Testing and Commissioning

### PS11-01 Things to be provided by the *Client*

PS11-01.1 The *Client* provides the following

- the documents entitled
  - “Project Testing and Commissioning Strategy”,
  - “Project Concept of Operation” including systems engineering architecture and minimum operating criteria,
  - “Project Network Operations and Maintenance Strategy”,
  - “Project Network Performance Criteria” and
  - “Interface Matrix”

all as identified in **Annex 02**,

- the operations requirements for the Strategic Road Network at the M25, A13 and A2 / M2 interfaces and
- the ITS architecture and concept design

(see links in **Annex 02**).

PS11-01.2 The *Service Manager* provides

- the Project Contract Scopes which identify the testing and commissioning requirements which are to be delivered by the Project Contractors and
- a schedule of testing and commissioning requirements which are to be delivered by parties other than the Project Contractors including on the Strategic Road Network at the A2 / M2, A13 and M25

(see links in **Annex 02**).

### PS11-02 Mobilisation Activities

PS11-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.

PS11-02.2 The *Consultant* develops a testing and commissioning plan for the Project and submits the plan to the *Service Manager* for acceptance. A reason for not accepting the plan is that

- It does not include the matters set out in section PS11-02.3 or
- it does not allow the testing and commissioning requirements to be delivered in accordance with the contract or the Project Contracts (as applicable).

PS11-02.3 The testing and commissioning plan includes the following



- approach to providing leadership of testing and commissioning for the whole Project for the duration of the *service*,
- approach to driving collaboration between the Project Contractors, and between the Project Contractors and Others, in the management of interfaces within the testing and commissioning requirements in accordance with the Project Contract Scopes,
- approach to driving improvement in testing and commissioning for the whole Project for the duration of the *service* having due regard to the requirements of **Annex 11**,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to drive high performance against the testing and commissioning requirements in accordance with the relevant Project Contract Scope,
- approach to integrating each of the Project Contractors' testing and commissioning requirements and any testing and commissioning requirements of Others in accordance with the relevant Project Contract Scope,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to identify, manage and mitigate risk against the testing and commissioning requirements in accordance with the relevant Project Contract Scope,
- processes and rules for the following stage gates including the drafting and configuration of compliance rules for testing and commissioning of any component, sub assembly, assembly, sub system or system (or any combination of these) which is required to achieve each of the stage gates listed below
  - completion of physical works to permit the commencement of contract specific testing and commissioning,
  - completion of contract specific testing and commissioning to permit commencement of multi contract testing and commissioning and
  - completion of multi contract testing and commissioning to permit commencement of trial operations,
- processes and workflows for the Project Contractors to submit their testing and commissioning deliverables required under the Project Scopes to the Project Managers including workflows for document management and issue of contractual communications using CEMAR,
- processes for the review of the Project Contractors' plans for delivery of testing and commissioning requirements in accordance with the Project Contract Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
- processes for quality control, surveillance and inspection during physical construction,

- processes to manage, track and report the review of the Project Contractors' plans for delivery of testing and commissioning requirements,
- processes to manage, track and report the assurance and audit of the Project Contractors' delivery of testing and commissioning requirements,
- processes for receiving, assuring and managing testing and commissioning data prepared by each of the Project Contractors in accordance with the relevant Project Contract Scope,
- processes for assurance and audit of each of the Project Contractors' delivery of testing and commissioning requirements in accordance with the relevant Project Contract Scope,
- processes for the integration and coordination of each of the Project Contractors' delivery of testing and commissioning requirements in accordance with the relevant Project Contract Scope,
- processes for the allocation, management and coordination of testing and commissioning activities where the testing and commissioning requirement creates an interface which requires discharge of the requirement by more than one Project Contractor,
- processes for the review of the Project Contractors' plans for testing and commissioning and for making recommendations to the Project Managers where instructions are required to be given to resolve conflict at testing and commissioning interfaces,
- processes to identify manage and mitigate risk against the testing and commissioning requirements and interface requirements in accordance with the relevant Project Contract Scope,
- processes to manage the compilation of the contract documents for each of the Project Contracts in order to capture and configure the outcomes from the procurement process,
- processes to work collaboratively with the Project Contractors during the OCI Phase of the Project Works to mitigate risks and optimise interfaces as the Project Contractors prepare their designs and develop their detailed testing and commissioning plans for each of the Project Contracts,
- processes for including all testing and commissioning requirements within the Integrated Project Programme,
- processes for reviewing and progressively assuring each of the Project Contractors' testing and commissioning plans as the Project Contractors' designs are reviewed by the Project Design Authority,
- processes and workflows for receiving, assuring and managing testing and commissioning data and records prepared by the Project Contractors in accordance with the relevant Project Contract Scope and
- processes for

- capturing all Project testing and commissioning requirements and obligations and
- managing all Project testing and commissioning requirements and obligations

within the Commitments and Requirements Management Tool.

PS11-02.4 The *Consultant* supports the *Client* during procurement of the Project Works to

- negotiate and finalise the testing and commissioning requirements and
- review and agree the testing and commissioning plan and programme

within each of the Project Contracts.

PS11-02.5 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process.

### **PS11-03 Delivery Phase Tasks**

PS11-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

PS11-03.2 The *Consultant* Provides the Service in accordance with the accepted testing and commissioning plan.

PS11-03.3 The *Consultant* ensures that each of the Project Contractors delivers the testing and commissioning requirements in accordance with the relevant Project Contract Scope.

PS11-03.4 The *Consultant* integrates and coordinates the testing and commissioning requirements of the Project Contractors and other parties and manages interfaces between those requirements.

PS11-03.5 The *Consultant* directs, manages and assures the Project testing and commissioning requirements, including those which are to be delivered by parties other than the Project Contractors, through the following phases

- development of testing and commissioning plans,
- preliminary inspection and testing,
- factory acceptance testing and site acceptance testing,
- pre-commissioning testing and inspection,
- contract specific testing and commissioning and
- multi-contract integrated testing and commissioning.

PS11-03.6 The *Consultant* directs, manages and assures the Project testing and commissioning and ensures that all witnessing of testing and commissioning

is carried out in a timely manner to allow each Project Manager to fulfil its obligations under the relevant Project Contract.

- PS11-03.7 The *Consultant* directs, manages and assures the coordination and integration of testing and commissioning and ensures that each Project Contractor's testing and commissioning meets the coordination and integration requirements under the relevant Project Scope.
- PS11-03.8 The *Consultant* develops, directs manages and assures a testing and commissioning strategy for the Free Flow Charging Contract once that contract has been procured by the *Client*.
- PS11-03.9 The *Consultant* coordinates and integrates the Project testing and commissioning with the Tunnel Administrative Authority which is accountable for the Tunnel Safety Case under the Road Tunnel Safety Regulations 2007.
- PS11-03.13 The *Consultant* supports the *Client* and works collaboratively with the Project Contractors during the OCI Phase to mitigate risks and optimise interfaces as the Project Contractors prepare their design and develop their detailed testing and commissioning plans for each of the Project Contracts.
- PS11-03.14 The *Consultant* provides an induction training and education programme for the Project Contractors on the workflows and systems in the testing and commissioning plan.

#### **PS11-04 Review Stages**

- PS11-04.1 The *Consultant* reviews the testing and commissioning plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the testing and commissioning plan to deliver a lean and agile *service* with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated testing and commissioning plan to the *Service Manager* for acceptance following the same process as set out in section PS11-02.2.

## Schedule PS12 – Handover into Operation and Asset Management

### PS12-01 Things to be provided by the *Client*

- PS12-01.1 The *Client* provides the following
- the documents entitled
    - “Project Testing and Commissioning Strategy”,
    - “Project Concept of Operation” including systems engineering architecture and minimum operating criteria,
    - “Project Network Operations and Maintenance Strategy”,
    - “Project Network Performance Criteria”,
    - “Interface Matrix”,
    - “Project Asset Management Strategy” and
  - the operations requirements for the Strategic Road Network at the M25, A13 and A2 / M2 interfaces(all as identified in **Annex 02**).
- PS12-01.2 The *Service Manager* provides to the *Consultant* the Project Contract Scopes which identify the handover to operation and asset management requirements which are to be delivered by the Project Contractors (see link in **Annex 02**).

### PS12-02 Mobilisation Activities

- PS12-02.1 The *Consultant* undertakes the following activities as part of its Mobilisation Activities.
- PS12-02.2 The *Consultant* develops a handover to operation and asset management plan for the Project and submits the plan to the *Service Manager* for acceptance. The *Consultant* develops the plan in accordance with section S560 and **Annex 05**. A reason for not accepting the plan is that
- it does not meet the requirements of section S560 or **Annex 05**,
  - it does not include the matters set out in section PS12-02.3 or
  - it does not allow the handover to operation and asset management requirements to be delivered in accordance with the contract or the Project Contracts (as applicable).
- PS12-02.3 The handover to operation and asset management plan includes the following
- approach to providing leadership of handover to operation and asset management for the whole Project,
  - approach to collaborative working by the *Consultant* with the *Client's* operations directorate and the Project Contractors to drive high performance in handover to operation and asset management for the whole Project,

- approach to driving collaboration and integration between each of the Project Contractors in the delivery of handover to operation and asset management requirements in accordance with the relevant Project Contract Scope,
- approach to driving improvement in handover to operation and asset management for the whole Project having due regard to the requirements of **Annex 11**,
- approach to proactive engagement by the *Consultant* with each of the Project Contractors to drive efficiencies against the whole life cost requirements in accordance with the relevant Project Contract Scope,
- processes for the review of each of the Project Contractors' plans for delivery of handover to operation and asset management requirements in accordance with the Project Scopes and for making recommendations to the Project Managers as to whether the Project Contractors' plans are to be accepted, rejected with comments or rejected,
- processes to develop the detailed requirements for handover to operations including training on operational systems required to be provided by the Project Contractors,
- processes to develop the detailed requirements and tools for asset management after each Project Contract Completion,
- processes to review the Project Contractors designs and develop the *Client's* requirements for critical spares,
- processes to develop the customer plan for the Project,
- processes to integrate, coordinate and manage the road space booking requirements of the Project Contractors and to manage the interface with the *Client's* operations directorate,
- processes to integrate coordinate and manage the DLOA requirements of the Project Contractors and to manage the interface with the *Client's* operations directorate,
- processes to develop the *Client's* requirements for operational readiness reviews,
- processes to develop the *Client's* requirements for Project Contract Completion,
- processes to develop the *Client's* requirements for trial operations,
- processes to develop the *Client's* requirements for the Duration of Section 3,
- processes to develop the *Client's* requirements for managing the "defects period" (as defined in the Project Contracts),
- processes to develop the *Client's* requirements for managing works carried out by the Project Contractors after Project Contract Completion such as landscape maintenance,

- processes to manage the compilation of the contract documents for each of the Project Contracts in order to capture and configure the outcomes from the procurement process,
- processes for the OCI Phase to mitigate risks as the Project Contractors prepare their handover to operation and asset management plans within each of the Project Contracts and
- processes for
  - capturing all Project handover to operation and asset management requirements and obligations and
  - managing all Project handover to operation and asset management requirements and obligations
 within the Commitments and Requirements Management Tool.

PS12-02.4 The *Consultant* supports the *Client* during procurement of the Project Works to negotiate and finalise the handover to operation and asset management requirements within each of the Project Contracts.

PS12-02.5 The *Consultant* manages the process of compiling the contract documents for each of the Project Contracts prior to award, in order to capture and configure the outcomes from the procurement process .

### PS12-03 Delivery Phase Tasks

PS12-03.1 The *Consultant* undertakes the following activities during the Delivery Phases, pursuant to Task Orders issued in accordance with the contract.

PS12-03.2 The *Consultant* ensures that each of the Project Contractors delivers the handover to operation and asset management requirements in accordance with the relevant Project Contract Scope.

PS12-03.3 The *Consultant* works collaboratively with the *Client's* operations directorate to develop

- the detailed requirements for handover to operations,
- the organisational design for transition to operations,
- the detailed requirements and tools for asset management after each Project Contract Completion and
- the customer plan for the Project in accordance with **Annex 05**.

PS12-03.4 The *Consultant* integrates coordinates and manages the road space booking requirements of the Project Contractors and manages the interface with the *Client's* operations directorate.

PS12-03.5 The *Consultant* integrates, coordinates and manages the DLOA requirements of the Project Contractors and manages the interface with the *Client's* operations directorate.

PS12-03.6 The *Consultant* reviews and assures the whole life costs within each of the Project Contractors' design submissions made in accordance with the

Project Contract Scopes and makes recommendations to the Project Managers as to whether the Project Contractors' whole life cost submissions are to be accepted, rejected with comments or rejected.

- PS12-03.7 The *Consultant* reviews and assures the asset management plans within the Project Contractors' design submissions made in accordance with the Project Contract Scopes and makes recommendations to the Project Managers as to whether the Project Contractors' asset management submissions are to be accepted, rejected with comments or rejected.
- PS12-03.8 The *Consultant* directs, manages and assures the handover to operation and asset management requirements, including those which are to be delivered by the Ancillary Contractors, through the following stages
- development of handover to operation and asset management,
  - trial operations,
  - the Duration of Section 3 and
  - "defects period" (as defined in the Project Contracts).
- PS12-03.9 The *Consultant* supports the *Client* and works collaboratively with the Project Contractors during the OCI Phase to mitigate risks as the Project Contractors prepare their handover to operation and asset management plans within each of the Project Contracts.
- PS12-03.10 The *Consultant* Provides the Service in accordance with the accepted handover to operation and asset management plan.
- PS12-03.11 The *Consultant* supports the *Client's* operations directorate in preparing budget forecasts for the *Client's* "RIP 3" bidding process, asset management information for the concessionaire on the *Client's* "M25 DBFO Contract" and asset management information and technical scopes for the future procurement of the *Client's* "Area 4 Maintenance and Renewals Contract" in preparation for operation of the completed Project.

#### **PS12-04 Review Stages**

- PS12-04.1 The *Consultant* reviews the handover to operation and asset management plan prior to the start of each Review Stage and, at the start of each Review Stage, makes recommendations for changes to the handover to operation and asset management plan to deliver a lean and agile service with the capabilities and capacity needed for the subsequent Delivery Phases and to achieve any efficiencies which it has identified. The *Consultant* provides a revised updated handover to operation and asset management plan to the *Service Manager* for acceptance following the same process asset out in section PS12-02.2.