



Future eGates Services

SCHEDULE 21

GOVERNANCE

Schedule 21 (Governance)

1. INTRODUCTION

- 1.1. This Schedule sets out the governance, management arrangements and escalation processes for this Contract as anticipated from the Effective Date.
- 1.2. The Authority is entitled to update, amend, add to or delete any of the governance related meetings and/or escalation processes set out in this Schedule 21 (*Governance*).
- 1.3. Where the Authority requires such an update, amendment, addition or deletion as set out in Paragraph 1.2 the Authority shall provide the Supplier with as much notice as is practicable and the Supplier shall comply with such updates, amendments, additions or deletions within a reasonable timescale as specified by the Authority in the aforementioned notice.
- 1.4. Subject to paragraph 1.5 below, if a Party reasonably believes that the Supplier's costs will materially increase or decrease, as applicable, as a result of the updates, amendments, additions or deletions described in paragraph 1.2 above and provided such Party can demonstrate such material increase or decrease in the Supplier's costs, as applicable, then the Parties shall discuss in good faith whether the Charges need to be increased or decreased, as applicable; and any such agreement on a change to the Charges will be managed in accordance with Schedule 22 (*Change Control Procedure*).
- 1.5. If and whilst the Authority and the Supplier are having good faith discussions in accordance with Paragraph 1.4 above, the Supplier shall comply with the updated, amended, additional or deleted governance and/or escalation process arrangements within the timescale as reasonably specified by the Authority in the applicable notice as described in Paragraph 1.3. If and when any agreement is reached via the Change Control Procedure as described in Paragraph 1.4, any agreed increase or decrease to the Charges shall be backdated to the date of the update, amendment, addition or deletion required by the Authority referred to in Paragraph 1.2.

2. MANAGEMENT OF THE SERVICES

- 2.1. In accordance with the Contract the Services comprise both Implementation Services and Operational Services:
 - 2.1.1. Implementation Services: covering Mobilisation activity, Early Adopter Sites activity, Service Transition activity and National Estate Rollout activity as the context applies; and
 - 2.1.2. Operational Services: covering such Services to be triggered on a phased basis by the Implementation of eGates as further described in Schedule 13 (*Implementation*) and Schedule 14 (*Testing Procedures*).
- 2.2. The governance relating to the Implementation Services and Operational Services is contained in Annex 1 of this Schedule. The governance requirements for the Services shall overlap in accordance with the Implementation Plan whilst both Implementation Services and Operational Services are being delivered. Following the completion of the National Estate Rollout the Governance relating to the Implementation Services shall cease.
- 2.3. Both Parties shall ensure that appropriate resources are made available on a regular basis such that the aims, objectives and specific provisions of this Contract and the requirement of this Schedule can be fully realised.
 - 2.3.1. From the commencement of the delivery of Operational Services, the Supplier shall ensure that their service manager is located in the Authority's offices with the Authority's service manager for a minimum of 1 day of each working week.
- 2.4. In the event of poor performance by Key Personnel (as defined in Schedule 29 (*Key Personnel*)) that are delivering both Implementation Services and Operational Services the Authority shall have the right to request for members of the Key Personnel to be replaced. The Supplier will then work with the Authority to agree a replacement in a timely manner.

3. GENERAL

- 3.1. Each Party shall ensure that its representatives attend meetings. If any representative is not able to attend a meeting, that person shall use best endeavours to ensure that:
 - 3.1.1. a delegate attends the relevant meeting/s in their place who (wherever possible) is properly briefed and prepared;
 - 3.1.2. they are debriefed by such delegate after the meeting/s;
 - 3.1.3. specifically for Service Transition meetings the delegate must have the ability to make decisions concerning Service Transition without escalation; and
 - 3.1.4. specifically for the monthly service review meetings the Supplier's delegate should be an equally experienced and qualified service manager.
- 3.2. A chairperson for the meetings defined in Annex 1 shall be appointed by the Authority for each meeting. The chairperson shall be responsible for:
 - 3.2.1. scheduling;
 - 3.2.2. setting the agenda for meetings and circulating to all attendees in advance of such meeting including any change to membership;
 - 3.2.3. chairing the meetings;
 - 3.2.4. monitoring the progress of any follow up tasks and activities agreed to be carried out following meetings;
 - 3.2.5. ensuring, where the Supplier is in attendance, that the Supplier records the minutes of meetings and updates the action log;
 - 3.2.6. ensuring, where the Supplier is in attendance, that the Supplier disseminates the minutes and action log of the meeting electronically to the appropriate persons and to all meeting participants within two (2) Working Days after the meeting for review and agreement; and
 - 3.2.7. facilitating the process or procedure by which any decision agreed at any meeting is given effect in the appropriate manner;
- 3.3. The Parties shall ensure that all meetings shall, as soon as reasonably practicable, resolve the issues and achieve the objectives placed before them. Each Party shall ensure that its representatives are empowered to make required decisions or have access to empowered individuals for decisions to be made to achieve this.
- 3.4. Meetings shall be quorate as long as at least two representatives from each Party are present who are empowered to make the required decisions.
- 3.5. In relation to each meeting, the topics to be covered shall be as detailed in Annex 1 of this Schedule unless otherwise agreed by the Parties.

4. ESCALATION PROCESS

- 4.1. In the first instance, the Authority and the Supplier will make all reasonable endeavours to resolve all issues as soon as possible, at the lowest level in the project structure in which they can best be managed. Where either Party considers that an issue cannot be resolved within acceptable timescales the dissatisfied Party may escalate the issue to the next level in accordance with the following escalation process:
- 4.1.1. During the Implementation Services:
- 4.1.1.1. matters unresolved by the attendees of the meetings included in Annex 1, Section 1 shall first be referred to the Authority Programme Board;
 - 4.1.1.2. matters unresolved by the Authority Programme Board shall be managed in accordance with Annex 1, Section 1.3;
 - 4.1.1.3. by exception, the Supplier may be invited to attend the Authority Programme Board;
 - 4.1.1.4. Service Transition matters within Implementation unresolved by the attendees of the meetings included in Annex 1, Section 2 shall first be referred to the Authority Lead Service Architect;
 - 4.1.1.5. matters unresolved by the Authority Lead Service Architect shall be managed in accordance with Annex 1, Section 1.3;
- 4.1.2. On and from the first Operational Service Commencement Date and thereafter throughout the Term of the Contract:
- 4.1.2.1. matters unresolved by the Weekly/Monthly Service Reviews, shall be referred to the Commercial Contract and Performance Board;
 - 4.1.2.2. matters unresolved by the Commercial Contract and Performance Board shall be referred to the Product Board;
 - 4.1.2.3. By exception, the Supplier may be invited to attend the Product Board.

5. SERVICE MANAGEMENT MEETINGS – INCLUDING PERFORMANCE REVIEWS

- 5.1. The Supplier and the Authority shall each appoint managers for the purposes of this Contract through whom the Services shall be managed on a day-to-day basis.
 - 5.1.1. During the Implementation Services:
 - 5.1.1.1. The Supplier and the Authority shall each appoint delivery managers for the purposes of this Contract through whom the Implementation Services shall be managed on a day-to-day basis;
 - 5.1.1.2. Meetings shall be established by the Authority for the purposes of this Contract in which both the Supplier and the Authority shall be represented. The detail of these meetings is available in Annex 1, Section 1 of this Schedule;
 - 5.1.2. During the Operational Services:
 - 5.1.2.1. The Supplier and the Authority shall each appoint service managers for the purposes of this Contract through whom the Operational Services shall be managed on a day-to-day basis;
 - 5.1.2.2. Meetings shall be established by the Authority for the purposes of this Contract in which both the Supplier and the Authority shall be represented. The detail of these meetings is available in Annex 1, Section 3 of this Schedule.
- 5.2. In the event that either Party wishes to replace any of its appointed representatives (for example due to staff movement, redeployment), this will be captured in the agenda for the next relevant meeting.
- 5.3. Notwithstanding the foregoing it is intended that each Authority representative has at all times a counterpart Supplier representative of equivalent seniority and expertise.

6. CONTRACT MANAGEMENT MECHANISMS

- 6.1. The Supplier shall develop, operate, maintain and amend, as agreed with the Authority, processes including (but not limited to):
 - 6.1.1. the identification and management of risks in accordance with the Future eGates Risk Management Service Requirements as detailed in Schedule 2 (*Services Description*) and Schedule 4 (*Standards*);
 - 6.1.2. the identification and management of issues; and
 - 6.1.3. monitoring and controlling project plans.

ANNEX 1**1. GOVERNANCE RELATING TO THE IMPLEMENTATION SERVICES:****Day to Day Management**

- 1.1.1 The Parties shall work collaboratively to Implement the Services. The Supplier's project manager and implementation team shall engage and work closely with the Authority's own implementation lead and implementation project team on a daily basis throughout the implementation period. The day to day governance and management of the implementation of the Services shall be conducted via the Checkpoint Call meetings and the Weekly Programme Delivery meetings. The purpose of these meetings is as follows:

Checkpoint Call meetings:

- 1.1.1.1 Checkpoint Call meetings are Authority led implementation planning and management meetings with focus on site specific matters and are Supplier attended, commencing fortnightly 16 weeks prior to the start of each phase of the Supplier's onsite Implementation activity and switching to weekly 12 weeks prior to the start of the Supplier's onsite Implementation activity in relation to a Phase at a given Port.
- 1.1.1.2 The Authority Project Lead will chair the meeting, which will be attended by representatives from all stakeholder groups as required, including but not limited to Authority technical and testing representatives, Border Force, Port Operator, the Supplier and other Suppliers that are involved in the Implementation. The Supplier shall provide the Authority with updates in relation to Implementation activity it is leading on at the Checkpoint Calls. This shall include but will not be limited to:
- i. latest plan on a page summary in relation to the Implementation;
 - ii. progress against Milestones set out in the Site Specific Implementation Plan;
 - iii. progress against contractual Deliverables;
 - iv. summary of dependencies, risks and issues (i.e. Site level RAID log items);
 - v. status of Authority Responsibilities;
 - vi. escalations and key outstanding actions;
- 1.1.1.3 The Authority Project Lead will work with the Supplier and all parties involved in the Checkpoint Call meetings to resolve any issues in relation to the Implementation. Where issues cannot be resolved, the Authority Project Lead will escalate to the Weekly Programme Delivery meetings.

Weekly Programme Delivery meetings:

- 1.1.1.4 The Weekly Programme Delivery meetings will be chaired by the Authority Programme Lead with the Supplier in attendance and actively contributing. Other attendees may also include, but not be limited to, the Authority's Technical Programme Lead.
- 1.1.1.5 The Weekly Programme Delivery meetings will focus at an overall programme delivery level but also on an exceptional issue basis at site specific level and shall include but will not be limited to:
- i. Review of the Implementation Plan and any changes to the dates of Site Specific Implementation Plans that may impact on the overall delivery of the Implementation plan;
 - ii. Review of Authority and Supplier capacity and resource allocations to ensure that the Implementation Plan can be delivered;
 - iii. Review any escalations from Checkpoint Calls; Early Life Support (ELS) where Early Life Support Exit Criteria have not been met, or any other escalations from the Authority Project Lead or Supplier Project Manager;
 - iv. Review any escalations from Service Transition Checkpoint Calls, Transition Assurance Gateways where exit criteria have not been met or any other escalations from the Authority Transition Lead;
 - v. Resolve (including the agreement of any ELS Resolution Plan) issues in relation to Early Life Support activity, including where the Early Life Support Exit Criteria have not been Achieved or may not be expected to be Achieved;
 - vi. Review of any risks that have been identified and any relevant mitigations;
 - vii. Review and approval of any project delivery changes or additional effort required (including additional project work) that will require onward financial approval within the Authority's internal governance processes.
- 1.1.1.6 Where required, for the management of the Implementation of the Services and/or resolution of issues in relation to the Implementation of the Services, either Party may require that this meeting is held more frequently than once per week.

1.2 Authority Programme Board:

- 1.2.1 Internally the Authority project team shall be accountable to and report progress against the Implementation Plan to the Programme Board. Ordinarily this will be an internal meeting held by the Authority with Supplier attendance required only by invitation.

- 1.2.2 Where the Supplier is required to attend the Authority's Programme Board, the Authority shall notify the Supplier as to the date, timing and agenda with as much reasonable notice as is practicable.

1.3 Escalation Process:

- 1.3.1 Any implementation issues relating to commercial matters (for example, impacts to Authority budgets, Delay Payments, payment disputes etc) which remain unresolved at the Weekly Programme Delivery meeting shall be escalated by the Parties to the Monthly Commercial Contract and Performance Board. The Monthly Commercial Contract and Performance Board is further described at Annex 1 Section 3.

- 1.3.2 Any operational/delivery issues relating to the Implementation of the Services which remain unresolved at the Weekly Programme Delivery meetings shall be escalated for resolution as follows:

- Authority Programme Board
- Level 1 Escalation: Authority Director Level and Supplier Account Director; and then where required;
- Level 2 Escalation: Authority SRO and Supplier's Senior Executive.

- 1.3.3 The Parties shall involve their respective commercial leads as required to support the resolution of any issues that have been escalated. Where a Dispute Notice is formally raised by either Party, the provisions of Schedule 23 (*Dispute Resolution Procedure*) shall apply.

- 1.3.4 For the avoidance of doubt:

- where at a particular Phase of a given Port the escalation process is invoked in relation to the Supplier failing to Achieve the Early Life Support Exit Criteria, where the Parties are unable to agree an ELS Resolution Plan and/or
- where at a particular phase of the Service Transition process the escalation process is invoked in relation to the Supplier failing to meet the Service Transition Assurance Gateways where the Parties are unable to agree a Service Resolution Plan;

then the matter shall be immediately escalated in accordance with Paragraph 1.3.2.

- 1.3.5 Where the Supplier fails to either Achieve the ELS Resolution Plan or where following the escalation set out in Paragraph 1.3.4 an ELS Resolution Plan cannot be agreed, then the failure to meet the Early Life Support Exit Criteria shall constitute at the Authority's absolute discretion either:

- 1.3.5.1 A Default (for the purposes of Clause 27 (Remedial Adviser) or Clause 28 (Step-In Rights)) by the Supplier that is materially

preventing or materially delaying the performance of the Services or any material part of the Services; or

1.3.5.2 An irremediable material Default for the purposes of Clause 31 (Termination Rights).

1.4 Meetings and other Governance:

1.4.1 Ordinarily the meetings listed in Table 1 below will be held remotely.

1.4.2 Where the Authority requires a meeting to be held face to face the meeting shall take place at Authority premises (or at a Port as may be required by the Authority). Where meetings are to be held face to face, the Authority shall provide the Supplier with as much notice as is reasonably practicable.

1.4.3 The suggested attendees listed in Table 1 below are provided to the Supplier as an indication of the subject areas to be discussed and the possible subject matter experts required at each of the meeting types. It is important that meetings are attended by appropriate subject matter experts of both Parties relevant to the subject areas to be covered during these meetings and these may alter over time at differing stages of the Implementations and from Port to Port.

Table 1: Implementation Services Meetings

Name	Meeting Frequency	Suggested Attendees	Chair	Approximate Duration
Checkpoint Call	As agreed by the Authority with the Supplier (Currently fortnightly 16 weeks prior to the start of each Phase of the Supplier's onsite Implementation activity and switching to weekly 12 weeks prior to the start of the Supplier's onsite Implementation activity.)	<p>Authority:</p> <ul style="list-style-type: none"> - Technical representative - Testing representative -Release Manager -Service Manager -Border Crossing Product Representative - Border Force - Port Operator - Other government departments - Other Suppliers <p>Supplier:</p> <ul style="list-style-type: none"> - Project Manager - Technical representative 	Authority Project Lead	1 hour

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		<ul style="list-style-type: none"> - Installation representative - Testing representative 		
Weekly Programme Delivery Meeting	As agreed by the Authority with the Supplier (Currently Weekly)	Authority: <ul style="list-style-type: none"> - Technical Programme Lead - Testing Lead Supplier: <ul style="list-style-type: none"> - Programme Lead - Technical Programme Lead - Testing Lead 	Authority Programme Lead	1 hour
Key Information Pack (KIP) Review Meeting	As agreed by the Authority with the Supplier (Currently Weekly for 3 weeks following issue of the KIP to the Authority)	Authority: <ul style="list-style-type: none"> - Technical Lead - Border Force - Port Operator - Other government departments - Other Suppliers Supplier: <ul style="list-style-type: none"> - Project Manager - Technical Lead - Installation Lead 	Authority Project Lead	1 hour
Release Readiness Review 1 (RRR1)	Once per Phase before the start of the Supplier's onsite Implementation activity	Authority: <ul style="list-style-type: none"> - Project Manager - Technical Lead - Testing Lead - - Border Crossing Product Manager Supplier: <ul style="list-style-type: none"> - Project Manager - Technical Lead - Testing Lead - Release Manager 	Authority Release Manager	30 minutes
Release Readiness Review 2 (RRR2)	Once per Phase before connectivity to the Authority's production environment	Authority: <ul style="list-style-type: none"> - Project Manager - Technical Lead - Testing Lead - - Service Manager - Border Crossing Product Manager Supplier:	Authority Release Manager	30 minutes

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		<ul style="list-style-type: none"> - Project Manager - Technical Lead - Testing Lead - Release Manager 		
Release Readiness Review 3 (RRR3)	Once per Phase before the go live (commencement of Early Life Support)	Authority: <ul style="list-style-type: none"> - Project Manager - Technical Lead - Testing Lead - - Service Manager - Border Crossing Product Manager Supplier: <ul style="list-style-type: none"> - Project Manager - Technical Lead - Testing Lead - Release Manager - Service Manager 	Authority Release Manager	30 minutes
Test Readiness Review (TRR)	Before the commencement of testing (SIT 1)	Authority: <ul style="list-style-type: none"> - Project Lead - Technical Lead - Release Manager - Border Crossing Product Manager Supplier: <ul style="list-style-type: none"> - Project Manager - Test Manager - Technical Lead 	Authority Test Lead	30 minutes
Defect Review Board (DRB)	As agreed by the Authority (Currently Daily during all phases of testing (SIT1, SIT2, SAT))	Authority: <ul style="list-style-type: none"> - Project Lead - Technical Lead - - Border Crossing Product Manager - Border Force Supplier: <ul style="list-style-type: none"> - Project Manager - Technical Lead - Test Manager 	Authority Test Lead	30 minutes
ELS End of Day Review Call	As agreed with the Authority (Currently Daily during Early Life Support)	Authority: <ul style="list-style-type: none"> - Technical Lead - Service Manager - Border Force - Border Crossing Product Manager Supplier:	Authority Transition Lead	30 minutes

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		<ul style="list-style-type: none">- Project Manager- Technical Lead- Service Manager		
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2. GOVERNANCE RELATING TO THE IMPLEMENTATION SERVICES – SERVICE TRANSITION:**2.1. Day to Day Management**

2.1.1. The Parties shall work collaboratively to transition the Services. The Supplier Transition Lead and team will engage and work closely with the Authority Transition Lead on a daily basis throughout the Service Transition period. The day to day governance and management of the Service Transition shall be conducted via the Service Transition Checkpoint Call meetings and the weekly Transition Planning Meetings. The purpose of these meetings is as follows:

2.2. Service Transition Checkpoint Call meetings:

2.2.1. Service Transition Checkpoint Call meetings are Authority led Service Transition planning and management meetings with focus on Service Transition specific matters and are Supplier attended, commencing upon request of the Authority Transition Lead.

2.2.2. The Authority Transition Lead will chair the meeting, which will be attended by representatives from all stakeholder groups as required, including but not limited to Authority technical and testing representatives, the Supplier and other Suppliers that are involved in the Service Transition. The Supplier shall provide the Authority with updates in relation to Service Transition activity it is leading on at the Service Transition Checkpoint Calls. This shall include but will not be limited to:

- latest plan on a page summary in relation to the Service Transition;
- progress against milestones set out in the Transition Plan;
- progress against contractual Deliverables;
- summary of dependencies, risks and issues (i.e. RAID log items);
- status of Authority Responsibilities; and
- escalations and key outstanding actions.

2.2.3. The Authority Transition Lead will work with the Supplier and all parties involved in the Service Transition Checkpoint Call meetings to resolve any issues in relation to the Service Transition. Where issues cannot be resolved, the Authority Transition Lead will escalate to the weekly Transition Planning Meetings.

3. Meetings and other Governance:

3.1. Ordinarily the meetings listed in Table 2 below will be held remotely.

3.2. Where the Authority requires a meeting to be held face to face the meeting shall take place at Authority premises. Where meetings are to be held face to face, the Authority shall provide the Supplier with as much notice as is reasonably practicable.

3.3. The suggested attendees listed in Table 2 below are provided to the Supplier as an indication of the subject areas to be discussed and the possible subject matter experts required at each of the meeting types. It is important that meetings are attended by appropriate subject matter experts of both Parties relevant to the subject areas to be covered during these meetings and these may alter over time at differing stages of the Transition.

Table 2: Transition Governance Assurance Meetings

Name	Meeting Frequency	Suggested Attendees:	Chair	Approximate Duration
Transition Planning Meeting	Weekly until Transition starts.	Authority: <ul style="list-style-type: none"> - Service representative - PMO On-boarding Supplier: <ul style="list-style-type: none"> - Transition Lead - Service Representative - PMO On-boarding 	Authority Transition Lead	2 hours
Live Service Preview	One off. The Live Service Preview (LSP) will be the official start of the Transition.	Authority: <ul style="list-style-type: none"> - Lead Service Manager - ITNow Service Desk Lead - Implementation Project Lead - Business Change Rep - Business Analyst - Release Lead - Product Lead - BPOs - Other key stakeholders Supplier: <ul style="list-style-type: none"> - Delivery Lead - Transition Lead - Service Manager - Implementation Project Lead - Business Change Rep 	Authority Transition Lead	2 hours

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Name	Meeting Frequency	Suggested Attendees:	Chair	Approximate Duration
		<ul style="list-style-type: none"> - Third party representatives if any 		
Service Transition Checkpoint Call	Weekly	<p>Authority:</p> <ul style="list-style-type: none"> - Implementation Project Lead - Technical and Testing representatives - Other key stakeholders <p>Supplier:</p> <ul style="list-style-type: none"> - Delivery Lead - Transition Lead - Implementation Project Lead - Third party representatives if any 	Authority Transition Lead	1 hour
Service Readiness Checkpoints	Weekly	<p>Authority:</p> <ul style="list-style-type: none"> - Lead Service Manager - ITNow Service Desk Lead - Implementation Project Lead - Business Change Rep - Business Analyst - Release Lead - Product Lead - BPOs - Other key stakeholders <p>Supplier:</p> <ul style="list-style-type: none"> - Delivery Lead - Transition Lead - Service Manager - Implementation Project Lead - Business Change Rep 	Authority Transition Lead	1 hour

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Name	Meeting Frequency	Suggested Attendees:	Chair	Approximate Duration
		- Third party representatives if any		
Acceptance into Service Reviews	Weekly	Authority: <ul style="list-style-type: none"> - Lead Service Manager - ITNow Service Desk Lead - BPOs Supplier: <ul style="list-style-type: none"> - Delivery Lead - Transition Lead - Service Manager - BPOs 	Authority Transition Lead	1 hour
Service Workshops	As planned	Authority: <ul style="list-style-type: none"> - Lead Service Manager - ITNow Service Desk Lead - BPOs Supplier: <ul style="list-style-type: none"> - Delivery Lead - Transition Lead - Service Manager - BPOs 	Authority Transition Lead	2 hours
Service Management Readiness Testing (SMRT)	As planned – usually 2 tests	Authority: <ul style="list-style-type: none"> - Lead Service Manager - ITNow Service Desk Lead - BPOs Supplier: <ul style="list-style-type: none"> - Delivery Lead - Transition Lead - Service Manager - BPOs 	Authority Transition Lead	2 hours
	As planned	Authority:	Authority Transition Lead	2 hours

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Name	Meeting Frequency	Suggested Attendees:	Chair	Approximate Duration
Service Readiness Review (SRR)		<ul style="list-style-type: none"> - Lead Service Manager - ITNow Service Desk Lead - Implementation Project Lead - Business Change Rep - Business Analyst - Release Lead - Product lead - BPOs - Other key stakeholders <p>Supplier:</p> <ul style="list-style-type: none"> - Delivery Lead - Transition Lead - Service Manager - Implementation Project Lead - Business Change Rep - Third party representatives -if any 		
Post Transition Review (PTR)	After ELS sign off	<p>Authority:</p> <ul style="list-style-type: none"> - Lead Service Manager - ITNow Service Desk Lead - Implementation Project Lead - Business Change Rep - Business Analyst - Release Lead - Product lead - BPOs - Other key stakeholders <p>Supplier:</p> <ul style="list-style-type: none"> - Delivery Lead - Transition Lead 	Authority Transition Lead	2 hours

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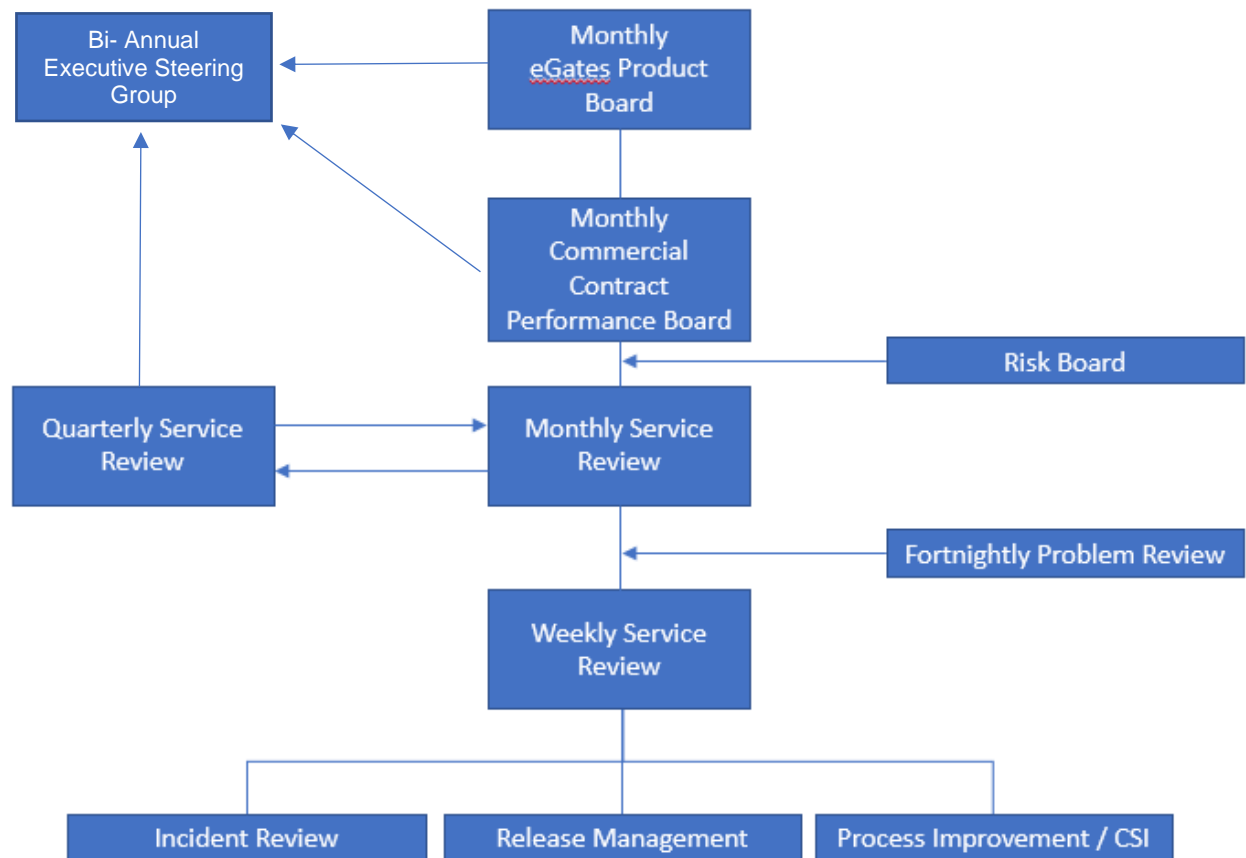
Name	Meeting Frequency	Suggested Attendees:	Chair	Approximate Duration
		<ul style="list-style-type: none">- Service Manager- Implementation Project Lead- Business Change Rep- Third party representatives-if any		

4. GOVERNANCE RELATING TO OPERATIONAL SERVICES:

The following governance meetings are to be maintained from the first Operational Service Commencement Date and thereafter throughout the term of the Contract.

This section describes the various governance meetings that oversee the Services once they are operational and includes their attendees, inputs and outputs. The diagram below shows the intended structure of the governance meetings.

Structure of governance meetings – Operational Services



Executive Steering Group

Executive Steering Group	
Frequency	Bi-Annual (i.e. twice per year)
Location	Authority Premises, Supplier Premises and/or conference call
Chair	Authority – Product Director
Typical Duration	1-2 hours
Objective	<p>The primary function of the Executive Steering Group shall be to discuss overall high-level performance of the Supplier, the state of the collaborative relationship between the Parties and the Parties' strategic plans.</p> <p>The purpose of this meeting is to:</p> <ul style="list-style-type: none"> • Conduct a high-level review of the service, delivery, technology and relationship between the Parties in connection with the Services; • Review and discuss any issues escalated for review at the meeting from the eGates Product Board and to implement any remedies and/or improvements reasonably required by the Authority; • Review the Performance Levels; • Identify and discuss any specific initiatives and opportunities that may improve efficiency in respect of the Supplier's provision of the Services (including the development of new products/services and the impact that these may have on the Services); • Identify and discuss any risks (organisational, industry-wide or otherwise) which may impact the Supplier's provision of the Services; • Discuss and agree any future joint strategic objectives; and • Monitor, review and seek to resolve any disputes.
Attendees	<p>Authority:</p> <ul style="list-style-type: none"> • Product Director and Chair, Border Force • Change & Improvement Manager • Senior Commercial Representative • Lead Service Manager • Senior Border Force Representative <p>Supplier:</p> <ul style="list-style-type: none"> • Supplier UK CEO / MD • Senior eGates Product Director • Change & Improvement Manager • Senior Commercial Representative • Senior Service Manager

Executive Steering Group	
Typical Agenda Items	<ul style="list-style-type: none">• Review of previous actions and updates on activities since last meeting.• Overview of the service, delivery, technology and relationship between the Parties in connection with the Services over the last 6 months.• Review and discussion on any escalations or remedies and/or improvements required by the Authority.• Both Parties to provide an update on their strategic ambitions and activities in relation to eGates.• Discussion on possible initiatives and opportunities to improve the efficiency of the Services delivered.• Identify and discuss any risks (organisational, industry-wide or otherwise) which may impact the Supplier's provision of the Services.• Discussion on possible future joint strategic activities and agreement on areas to focus on.
Typical Inputs	<ul style="list-style-type: none">• Last 6 months' performance trends from Monthly Service Review Packs, Performance Monitoring Reports and Balanced Scorecard Reports and state of relationship.• Update on strategic Initiatives from both Parties.• Industry Reports / Trends.
Typical Outputs	<ul style="list-style-type: none">• Agreed actions to further progress relationship and agreement (if any) on any strategic activities either or both Parties can undertake.

eGates Product Board

eGates Product Board	
Frequency	Monthly
Location	Authority Premises, Supplier Premises and/or conference call
Chair	Authority – Product Director
Typical Duration	1.5-2 hours
Objective	<p>The primary purpose of the eGates Product Board is to drive the Product forward and deliver the outcomes and benefits. Members will provide resource and specific commitment to support the Senior Responsible Officer (SRO), who is accountable for the successful delivery of the Product.</p> <ul style="list-style-type: none"> The eGates Product Board will: <ul style="list-style-type: none"> Ensure through coordination and collaboration the success of all aspects of eGates product management and development; Baseline a Product roadmap and thereafter to be the arbiter of changes to its scope; Oversee progress against the Product roadmap and monitor business readiness for implementation; Review and resolve risks, issues and dependencies at Product level; Establish, monitor and review the approach to Product stakeholder management and communications; Establish, monitor and review the approach to Product benefits management; and Establish, monitor and review spend-to-forecast of the financial allocation. To agree to any changes to the budget (either offering funding back to the Border Force Investment Committee or applying to it for more money)
Attendees	<p>Authority:</p> <ul style="list-style-type: none"> Product Director and Chair, Border Force Deputy Product Owner Change & Improvement Manager Lead Service Manager Borders Portfolio Service Lead Lead Delivery Manager (NER) Commercial Contract Manager Service Manager Border Force Representative <p>Supplier:</p> <ul style="list-style-type: none"> May be invited by exception to attend the Product Board
Typical Agenda Items	<ul style="list-style-type: none"> Monitoring compliance of contractually agreed Performance Indicator levels and any improvement plans to address performance issues. Proactively reviewing performance trends and the identification of root causes (system, business or Supplier) and actions to address. Review and update actions. Risk management.

eGates Product Board	
	<ul style="list-style-type: none">• Review progress against value-add initiatives.• Resource review based on roadmap and upcoming value add initiatives.• Review and prioritise new innovation, Continual Service Improvement (CSI) and changes.• Review and agree changes to the Service Continuity Plan.• Review Contractual obligations being met and any proposed Contract Changes.• Review reporting on the Social Value standards and principles, that apply to this Contract, in accordance with Schedule 33 (Social Value).• Review the Balanced Scorecard Report, including outstanding Purchase Orders (PO's), invoices.
Typical Inputs	<ul style="list-style-type: none">• Monthly Service Review Pack to include Performance Monitoring Report and the Balanced Scorecard Report• Contract and Performance Board Pack• CSI Register• Service Risk Log
Typical Outputs	<ul style="list-style-type: none">• Approved monthly Service Review PackActions log

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eGates Commercial Contract and Performance Board

eGates Commercial Contract and Performance Board	
Frequency	Monthly
Location	Authority Premises, Supplier Premises and/or conference call
Chair	Authority - Commercial Contract Manager
Typical Duration	1.5-2 hrs
Objective	<p>To review Contract and Service Performance including:</p> <ul style="list-style-type: none"> • Review of Performance Indicators • Review the Balanced Scorecard Report as detailed in Schedule 3 (<i>Performance Levels</i>) • Review of Service Credits • Root cause review of Service issues • Management of issues including POs, Invoices, Change Requests
Attendees	<p>Authority:</p> <ul style="list-style-type: none"> • Service Team • Commercial/Contract Lead • Delivery Representative • Any other applicable individuals/Subject Matter Experts (SME) as required <p>Supplier:</p> <ul style="list-style-type: none"> • Service Manager and • Senior Service Manager • Supplier Commercial Manager • Account Manager • Delivery Representative
Typical Agenda Items	<ul style="list-style-type: none"> • Monitoring compliance of contractually agreed Performance Indicator levels and any improvement plans to address performance issues; • Proactively reviewing performance trends and the identification of root causes (system, business or Supplier) and actions to address; • Review and update actions; • Risk management; • Review progress against value-add initiatives • Resource review based on roadmap and upcoming value add initiatives • Review and prioritise new innovation and changes • Review planned / ongoing / completed Implementation activities • Review and agree changes to the Service Continuity Plan • Contractual obligations being met • Review reporting on the Social Value standards and principles, that apply to this Contract, in accordance with Schedule 33 (<i>Social Value</i>). • Review the Balanced Scorecard Report, outstanding invoices and POs • Review status of ongoing Change Requests • Review proposed Change Requests • Review planned, ongoing, completed, additional or new eMRTD country documents expected to be added for eligibility
Typical Inputs	<ul style="list-style-type: none"> • Monthly Service Review Pack to include Performance Monitoring Report and the Balanced Scorecard Report • Contract and Performance Board Pack

eGates Commercial Contract and Performance Board	
	<ul style="list-style-type: none"> • CSI Register • Risk Log
Typical Outputs	<ul style="list-style-type: none"> • Approved Monthly Service Review Pack • Actions log

eGates Monthly Service Review

eGates Monthly Service Review	
Frequency	Monthly
Location	Authority Premises, Supplier Premises and/or conference call
Chair	Supplier Lead Service Manager
Typical Duration	2 hours
Objective	<p>The eGates Service Review is the decision-making body for the eGates live service; provides quality assurance on all aspects of eGates service management and is accountable to the Product Board.</p> <p>This meeting will be held prior to the Commercial Contract and Performance Board, providing sufficient time for the previous month's service performance to be evaluated, mitigations prepared and service credit position to be analysed ready for review.</p> <p>Typical agenda / discussion points are as follows:</p> <ul style="list-style-type: none"> • Review the Supplier's performance of the Services within the agreed measurement period. • Review issues relating to Operational Change. • Agree any process changes required for service improvements where there are impediments to achieving the required Service Performance Indicators. • Review ticket volumes relating to Incidents, Problems and service requests. • Review the agreed findings from the monthly root cause review and decide upon a resolution for service failures with regard to Service Credits. • Implement actions for improving Authority satisfaction. • Review CSI activities across all areas, as well as taking service feedback from the business. • Evaluate, prioritise and invest (where needed), and monitor CSI initiatives to be implemented. • Review eGate Asset Register.
Attendees	<p>Authority:</p> <ul style="list-style-type: none"> • Service Team • Commercial Contract Manager • Problem Manager <p>Supplier:</p> <ul style="list-style-type: none"> • Service Manager(s) • Senior Service Manager

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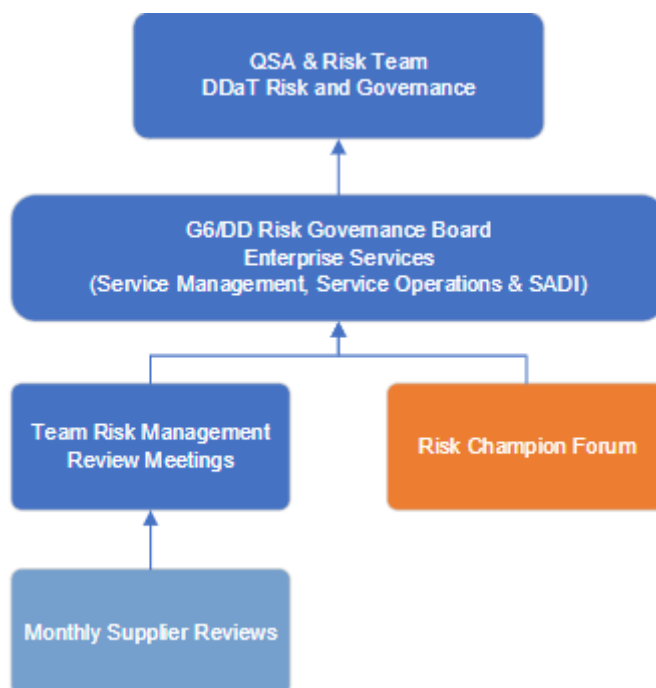
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eGates Monthly Service Review	
	<ul style="list-style-type: none"> • Commercial Manager • eGates Support Manager
Typical Agenda Items	<ul style="list-style-type: none"> • Incident and Problem mitigations • Performance Indicators reporting for previous month • Agree mitigation and Service Credit position • Review of CSI activities • Review of High Priority Incidents • Review of Incident volumes • Review any fix first and settle later occurrences • Reporting of User access Joiner, Leaver, Mover (JML) process
Typical Inputs	<ul style="list-style-type: none"> • Monthly Service Report containing <ul style="list-style-type: none"> • Agreed Performance Indicators mitigations • Performance levels applicable to reporting month • Service Credit position • Performance Indicators historic trend • Continuous Service Improvement headlines • ServiceNow dashboard containing strategic view of service in terms of <ul style="list-style-type: none"> • Incidents; current and aged, high priority tickets, functional breakdown, breaches • Problems; current and aged • Service requests • Risks • CSI Register <ul style="list-style-type: none"> • Service feedback • Service review output
Typical Outputs	<ul style="list-style-type: none"> • Approved monthly reports • Service Credit Position • Actions agreed to resolve deviations or non-adherence to performance levels • Actions log • Updated service improvement plan • Updated CSI Register • Initiate Change Request process • Escalations to discuss at Monthly eGate Product Board

Risk Governance

In accordance with the Home Office Enterprise Services Digital, Data and Technology (DDaT) Operational Risk Management Strategy, the Risk Governance structure, risks will be managed in conjunction with the Supplier as follows:



Operational Risk Management have set timings for Risk.

- **Risk Reviews—all risks** (with the exception of accepted risks) should be reviewed and updated every 32 days. This includes capturing actions, updating plans and reviewing controls and residual scores. Accepted risks should be reviewed and updated at least once every 90 days.
- **Risk Escalation**—supplementary information relating to risk should be provided to the ES Risk Management Lead(s) no later than the first Monday of each month so that it is able to be discussed in detail at the G6/Deputy Director (DD) Risk Governance board on the first Wednesday of the month.
- **G6/DD Governance Board**—will meet once per-month on the first Wednesday and will be attended by the Heads of Portfolio (Grade 6's) and DD's of Service Management and Service Operations. Further details on risk management timing can be found in the table below.

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Service and Product Managers meet with the Supplier, at least monthly, to review overall service performance. Prior to these meetings each Service and/or Product Manager will have updated the risk register for the service following the risk management lifecycle. The risk register will be updated in conjunction with the Supplier.

Type	Chair	Attendees	Frequency	Notes
Monthly Supplier Service Reviews	Service and/or Product Manager	Service and/or Product Manager Service Provider Lead	Monthly	<ul style="list-style-type: none"> • Within the Service Review meeting all new and current risks/issues should be discussed. • Update each risk as necessary with the latest status. • Note any risks for escalation • Quality Assurance
Team Risk Review	Team Manager / Risk Champion	All Team Members ES Risk Lead (when required)	Monthly	<ul style="list-style-type: none"> • Review all new and current risks/issues. • Update each risk as necessary with the latest status. • Note any risks for escalation • Identification of Risk patterns or trends • Quality Assurance
G6 Risk Governance meeting	ES Risk Lead	Senior Managers e.g. G6 ES Risk Lead	Monthly	<ul style="list-style-type: none"> • Review Risks identified for escalation • Review of red and principal Risks • Identification of Risk patterns or trends to highlight new strategic Risks • Confirm escalation to DDaT Risk and Governance Team
DDaT Risk Senior Working Group	DDaT Risk and Governance Lead	DD Business Planning and Management DDaT Risk & Governance Team	Monthly	<ul style="list-style-type: none"> • Review all escalated risks and consider if they should be progressed
Annual Controls Review	DDaT Risk and Governance Lead	Senior ES Risk Team DDaT Risk & Governance Team	Annual	<ul style="list-style-type: none"> • Review of existing Risk controls and their performance

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eGates Weekly Service Review

eGates Weekly Service Review	
Frequency	Weekly
Location	Authority Premises or conference call
Chair	Authority Lead Service Manager for eGates Live Services
Typical Duration	1hr
Objective	The objective of the Weekly eGates Service Review meeting is to align and steer the weekly management of the Services and manage and review new and ongoing High Priority Incidents, and to report on incident updates, status, progress, actions etc. The meeting includes a summary of service volumes, High Priority Incident updates, escalations, impact of expected demand on the service (resource and technology), reviewing frequency of incident updates, as well as the use of the 'Awaiting Information' status. Performance Indicators will also be reviewed
Attendees	Authority: <ul style="list-style-type: none"> • Service Manager • Incident & Problem Manager for eGates Live Services • Commercial (optional attendee) Supplier: <ul style="list-style-type: none"> • Service Manager(s)
Typical Agenda Items	<ul style="list-style-type: none"> • Live service escalations • P1 / P2 / P4 updates • P3 volumes • Current tactical issues to be addressed • Live performance • Contingency planning • Changes and releases • Aged ticket analysis / review • Previous actions • Incident dashboard • High Priority Incident review • Detailed incident review (where required) • Analysis of 'Awaiting Information' status on a monthly basis • Aged ticket analysis / review
Typical Inputs	<ul style="list-style-type: none"> • Weekly Service Report containing:- <ul style="list-style-type: none"> • Incident Work In Progress (WIP) volume and trend • Aged Incident WIP volume and trend • High Priority Incidents • Problem WIP volume and trend • High priority problems • Forthcoming changes • ServiceNow dashboard containing: <ul style="list-style-type: none"> • Escalated Incidents • Live Incidents; current and aged • Live Incidents; volumes by functional area, resolver group and by state • Live incidents; update frequency • High Priority Incidents
Typical Outputs	<ul style="list-style-type: none"> • Work In Progress (WIP) prioritisation • Service Improvement actions • Agreement on escalations required if any to either Party as a result of poor performance or improvement actions not being completed • Action log • Escalations to discuss at Monthly Service review

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eGates Fortnightly Problem Review

eGates Fortnightly Problem Review	
Frequency	Fortnightly
Location	Authority Premises or conference call
Chair	Authority Problem Manager
Typical Duration	1 hour
Objective	<p>The purpose of the Problem Review is to manage and review new and ongoing problems including problem priority, root cause, resolution, workarounds, knowledge articles etc.</p> <p>Performance Indicators will also be reviewed</p>
Attendees	<p>Authority:</p> <ul style="list-style-type: none"> • Problem Manager • Service Manager <p>Supplier:</p> <ul style="list-style-type: none"> • Service Manager(s) • Supplier Problem Manager
Typical Agenda Items	<ul style="list-style-type: none"> • Previous actions • Problem dashboard • High priority problem review • Detailed problem review (where required)
Typical Inputs	<ul style="list-style-type: none"> • Business as Usual (BAU) Problem investigation feeds this meeting • ServiceNow (SNOW) dashboard • Problem action log • Root cause analyses for selected problems
Typical Outputs	<ul style="list-style-type: none"> • Actions • Items for CSI

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Release Management Working Group

eGates Release Management Working Group	
Frequency	Weekly
Location	Authority Premises or conference call
Chair	Authority DDaT Release Manager
Typical Duration	1 hour
Objective	<p>As part of the path to live service this Working Group will serve as the gateway to live. Its purpose is: to review upcoming Changes for approval; review success of completed Changes deployed and any actions thereafter; review and approve items to be included in upcoming releases (inc. assessment of Acceptance into Service (AIS) criteria); as well as reviewing the Early Life Support (ELS) of recently implemented Changes, and the consequent acceptance into the BAU live service.</p> <p>This forum will review the Changes that are proposed to the current service.</p>
Attendees	<p>Authority:</p> <ul style="list-style-type: none"> • Service Manager • eGates Release manager <p>Supplier:</p> <ul style="list-style-type: none"> • Service manager(s) • Technical support – Management (as necessary)
Typical Agenda Items	<ul style="list-style-type: none"> • Previous actions • Review of completed Changes • Review and approval of new Changes • Review of and approval of items to be included in upcoming release(s) • Review of ELS of recently implemented Change, and consequent AIS
Typical Inputs	<ul style="list-style-type: none"> • ServiceNow – Change records • ELS status review
Typical Outputs	<ul style="list-style-type: none"> • Actions • Approved Change/Release • Acceptance into live service

Annex 2 Service Reporting

The Supplier shall refer to Schedule 24 (*Reports and Records Provisions*) for the reports that are required to be produced to support the governance of the Services from the first Operational Service Commencement Date and thereafter throughout the Term of the Contract.