



Ministry of  
**JUSTICE**

## Hosting

### Schedule 8.7: Document Approval Procedure

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## 1. BACKGROUND

### 1.1 The parties acknowledge that:

1.1.1 all Documentary Deliverables provided by the Hosting Supplier must meet the Authority's requirements as set out in this Agreement and agreed Quality Criteria; and

1.1.2 a Document Approval Procedure is required to demonstrate that all Documentary Deliverables meet the Authority's requirements as set out in this Agreement and agreed Quality Criteria.

1.2 This Document Approval Procedure shall apply to the review and Approval of any Documentary Deliverable that the Hosting Supplier is required to provide under this Agreement.

1.3 This schedule 8.7 (Documentary Approval Procedure) shall not apply to any variation (which may include Documentary Deliverables) evidenced by a Project Authority to Proceed and prepared and agreed in accordance with the process set out in paragraphs 1.1 – 1.12 of schedule 6.1 (Project Management).

1.4 The Document Approval Procedure described in this schedule 8.7 (Document Approval Procedure) is a standard procedure that shall be followed by the parties unless agreed otherwise.

1.5 The Document Approval Procedure described in this schedule 8.7 (Document Approval Procedure) is intended to support, and be supported by, effective joint working between all parties involved in delivering End to End Services to the Authority.

1.6 In planning any review, the parties shall consider and agree what third party involvement is appropriate, including the involvement of any Other FITS Suppliers, Collaborating Suppliers and Other Authority Providers. Subject to paragraph 1.8, the Hosting Supplier shall consult such third parties regarding the planning of delivering Documentary Deliverables accordingly.

1.7 Where any such third parties are involved in a review, the Hosting Supplier shall provide such third parties with all necessary assistance and information in connection with the conduct of that review.

1.8 Subject to the Master Services Agreement, where the Hosting Supplier, in meeting its obligations under this schedule 8.7 (Document Approval Procedure), consults or otherwise directly works with a third party, the Authority may require the Hosting Supplier to inform and consult with the Authority in relation to such consultations or work. For the avoidance of doubt, when consulting and working with Suppliers, the Hosting Supplier shall comply with the provisions of the Master Services Agreement.

**2. INTRODUCTION TO DOCUMENT APPROVAL PROCEDURE**

- 2.1 This schedule 8.7 (Document Approval Procedure) specifies the review and approval procedures for Documentary Deliverables.
- 2.2 The Hosting Supplier shall ensure that all Documentary Deliverables are identified in the relevant Project Initiation Document, or other relevant work-scoping document, including the timing of their delivery and review.
- 2.3 The Document Approval Procedure is designed to enable the Authority, to review draft Documentary Deliverables produced by the Hosting Supplier against agreed Quality Criteria, and to approve such drafts subject to any required changes being made.
- 2.4 Where a third party, such as any Other FITS Supplier, Collaborating Supplier or Other Authority Provider, would reasonably be considered to have an interest in or a valid contribution to make towards a Documentary Deliverable, the Hosting Supplier shall ensure that such third party is consulted regarding its drafting. Provided that the third party in question is not CGI IT UK Limited in its capacity as the AMS Lot 1 Services Supplier, the Authority shall facilitate such consultation where requested by the Hosting Supplier.
- 2.5 The Document Approval Procedure commences with the agreement of the Product Description for the Documentary Deliverable, which sets out the Quality Criteria that the Documentary Deliverable must meet in order to be Approved.
- 2.6 The Document Approval Procedures for Documentary Deliverables are outlined below, covering:
- 2.6.1 where necessary, development and approval of the Product Description for the Documentary Deliverable;
  - 2.6.2 key roles in reviewing and approving Documentary Deliverables;
  - 2.6.3 development of the review plan for the Documentary Deliverable;
  - 2.6.4 review procedure;
  - 2.6.5 consequences of Approval success and failure; and
  - 2.6.6 the requirement to record Approved Documentary Deliverables as Referenced Documents in accordance with paragraph 4.6.

**3. DEVELOPMENT OF PRODUCT DESCRIPTIONS FOR DOCUMENTARY DELIVERABLES**

- 3.1 Other than where the Product Description is already in existence under this Agreement, where a Documentary Deliverable is subject to the Document Approval Procedure pursuant to paragraph 1.2, the Hosting Supplier shall develop a draft Product Description materially in the format specified at Annex A to this schedule 8.7 (Document Approval Procedure) and/or in accordance with any applicable, more specific template Product Description under this Agreement and shall make the draft Product Description available to the Authority for review.

- 3.2 The Hosting Supplier shall ensure that the Product Description is in a form approved by the Authority by any date specified in this Agreement for this to have been achieved, or, in the absence of any such date being specified, in sufficient time to enable the applicable Documentary Deliverable to be delivered for review and to be Approved by the applicable date(s) for those activities.
- 3.3 The Authority shall review the draft Product Description in order to determine whether:
- 3.3.1 it is in the format specified at Annex A to this schedule 8.7 (Document Approval Procedure); and
- 3.3.2 the Authority believes that the Quality Criteria contained within the Product Description reflect the objective of the Documentary Deliverable and any requirements of this Agreement that relate to the Documentary Deliverable.
- 3.4 The Authority shall undertake this review of the draft Product Description, and shall notify the Hosting Supplier of the outcome of the review, within ten (10) Working Days of the Authority receiving the draft Product Description, or within such other period as may be agreed between the parties.
- 3.5 Where the draft Product Description meets the criteria set out in paragraph 3.3, the Authority shall notify its agreement of the Product Description in writing to the Hosting Supplier.
- 3.6 Where the draft Product Description does not meet such criteria, the Authority shall notify the Hosting Supplier, specifying the reasons why the draft has not been agreed.
- 3.7 If paragraph 3.6 applies, the Hosting Supplier shall liaise with the Authority to understand and complete the necessary changes and, subject to paragraph 3.2, shall issue to the Authority within five (5) Working Days a revised draft Product Description, with all changes clearly highlighted.

#### 4. **DEVELOPMENT OF DOCUMENTARY DELIVERABLES**

- 4.1 Key roles in reviewing and Approving Documentary Deliverables
- 4.1.1 For each Documentary Deliverable review, both parties shall appoint a member of their organisation that shall act as the lead role in the active management of the progression of each draft Documentary Deliverable through to Approval.
- 4.1.2 The Authority may involve third parties in the review. In this event, the Authority may share draft Documentary Deliverables with such third parties, and may invite them to participate in review meetings.
- 4.2 Agreement of Document Review Plan for Documentary Deliverables
- 4.2.1 Other than to the extent already reflected in this Agreement or agreed by the parties, the Hosting Supplier shall propose for Approval by the Authority a Document Review Plan (which may be included in the Product Description), which will be consistent with:

- 4.2.1.1 the overall timescale for development and Approval of the Documentary Deliverable, as set out in the relevant Project Initiation Document, or any other relevant work scoping document; and
  - 4.2.1.2 agreed Authority's Responsibilities with regard to the resourcing of review activity.
- 4.2.2 The Document Review Plan will record the following dates and details:
  - 4.2.2.1 the First Draft Delivery Date;
  - 4.2.2.2 the proposed method for review which, where appropriate, may include a joint page turn workshop between the Authority and the Hosting Supplier, in which case the Document Review Plan will record the date for this workshop which must be scheduled so as to allow the Authority reasonable time within which to review the First Draft in advance of the workshop;
  - 4.2.2.3 the date by which the Authority will notify the Hosting Supplier of the outcome of its review of the first draft and provide any review comments;
  - 4.2.2.4 the date by which the Authority and the Hosting Supplier will meet to review the comments;
  - 4.2.2.5 the date by which the Hosting Supplier shall submit a revised draft Documentary Deliverable;
  - 4.2.2.6 the date by which the Authority shall check the revised draft; and
  - 4.2.2.7 the Planned Approval Date.
- 4.2.3 If the Hosting Supplier does not propose a Document Review Plan (or propose one acceptable to the Authority) by the applicable date in this Agreement for this to occur (or, in the absence of such a date, in sufficient time to enable the applicable Documentary Deliverable to be delivered for review and to be Approved by the applicable date(s) for those activities), the Authority may specify the Document Review Plan.
- 4.3 Review Procedure for Documentary Deliverables
  - 4.3.1 The parties shall conduct the review in accordance with the Document Review Plan and the timescales specified therein.
  - 4.3.2 The Hosting Supplier shall produce and issue by the First Draft Delivery Date a complete draft Documentary Deliverable for review by the Authority, in accordance with the Document Review Plan.
  - 4.3.3 The Hosting Supplier shall not submit a draft Documentary Deliverable for review by the Authority without first verifying that the draft Documentary Deliverable:

- 4.3.3.1 is in accordance with the format, scope and Quality Criteria specified in the applicable Product Description;
  - 4.3.3.2 is clearly written, in language that those parties who will need to refer to the document can understand;
  - 4.3.3.3 is complete, with an appropriate level of detail and any relevant cross-references; and
  - 4.3.3.4 has no obvious errors of spelling, grammar, numbering or order, duplications or omissions.
- 4.3.4 The Authority shall review the draft Documentary Deliverable in order to determine whether it meets the applicable Quality Criteria or not, and shall notify the Hosting Supplier of the outcome of this review, in accordance with the Document Review Plan.
- 4.3.5 Where the Authority review determines that the draft meets all the applicable Quality Criteria, the review shall be concluded at this point, and the Authority shall notify the Hosting Supplier of Approval Success in accordance with paragraph 4.4.
- 4.3.6 Where the Authority rejects the draft Documentary Deliverable, because it does not meet all the applicable Quality Criteria or the Authority's requirements, the Authority shall specify its reasons for rejection in the form of collated review comments to the Hosting Supplier, and the following procedures shall apply:
- 4.3.6.1 the parties shall meet to discuss the Authority's review comments and to agree and document the necessary changes to the draft Documentary Deliverable that are required to achieve Approval;
  - 4.3.6.2 the Hosting Supplier shall produce a revised draft Documentary Deliverable, incorporating all agreed changes, with changes clearly highlighted, for review by the Authority in accordance with the Document Review Plan; and
  - 4.3.6.3 the Authority shall review the revised draft Documentary Deliverable in order to determine whether the agreed changes have been made and whether the revised draft now meets the applicable Quality Criteria or not, and shall notify the Hosting Supplier of the outcome of this review, in accordance with the Document Review Plan. During this review the Authority shall not raise any new review comments, i.e. that are unrelated to the original review comments and/or the agreed changes, unless failure to address such new review comments could have a significant impact on meeting the Quality Criteria and the purpose for which the Documentary Deliverable is intended.
- 4.3.7 Where the Authority rejects the revised draft Documentary Deliverable, the Authority shall notify the Hosting Supplier of the reasons for its rejection of the draft. In this event, the Hosting Supplier shall liaise with the Authority to

understand and complete the necessary changes and shall issue a further revised draft Documentary Deliverable for review and Approval.

4.3.8 The Hosting Supplier shall inform the Authority of any failure or likely failure to meet a date in the Document Review Plan as soon as such failure becomes known to the Hosting Supplier.

4.3.9 The Document Review Plan may only be changed with the Authority's prior written consent.

#### 4.4 Approval Success

If all applicable Quality Criteria are met in accordance with the Document Approval Procedure and the applicable Document Review Plan, the Authority shall notify the Hosting Supplier of Approval Success in accordance with clause 5.11.

#### 4.5 Approval Failure

If all applicable Quality Criteria are not met by the Planned Approval Date and in accordance with the Document Approval Procedure, the Authority shall notify the Hosting Supplier of Approval Failure and clauses 5.12 to 5.15 shall apply.

#### 4.6 Referenced Documents

Once Approved, the Authority may require the Hosting Supplier to record the title and version reference number of the Documentary Deliverable as a Referenced Document in schedule 11 (Referenced Documents).

## ANNEX A

## FORMAT FOR PRODUCT DESCRIPTIONS

## FOR

## DOCUMENTARY DELIVERABLES

<b><u>PRODUCT REFERENCE</u></b>	
<b>Title of Deliverable</b>	
<b>Purpose of Deliverable</b>	
<b>Project or Programme</b>	
<b>Scope of Deliverable</b>	
<b>Format &amp; Presentation of Deliverable</b>	
<b>Composition of Deliverable</b>	
<b>Derivation of Deliverable</b>	
<b>Allocated to</b>	
<b>Quality Criteria for Deliverable</b>	
<b>Quality Method</b>	
<b>People or skills required</b>	
<b>First Draft Delivery Date for Deliverable</b>	
<b>Planned Successful Approval Date for Deliverable</b>	
<b>Document Approval Plan</b>	

**End of schedule**