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Department for Work and Pensions

SCHEDULE 3

TRANSITION

1 Purpose of this Schedule

- 1.1 This Schedule details the Transition plan, the proposed Transition milestones as set out in Annex B to this Schedule 3, the Transition responsibilities, Transition products and product Acceptance Tests.
- 1.2 For the avoidance of doubt, for the purposes of Transition the CONTRACTOR shall be considered a current Gateway service provider in relation to the work which it is performing under the S-Cat Assignment Contract between the AUTHORITY and the CONTRACTOR for the provision of services in respect of the Gateway dated on or about July 2001.
- 1.3 For the avoidance of doubt, the AUTHORITY will not materially alter or amend the Gateway prior to TORD without consultation with the CONTRACTOR.

2 Scope of Transition

- 2.1 The defined scope of Transition includes pre-Transition activities as well as those activities to be delivered during the Transition Period itself. Activities that will be delivered in the Transformation project are covered within Schedule 7 (Transformation).
- 2.2 The scope of pre-Transition to be performed by the CONTRACTOR is as follows:
 - (a) production of a Transition project initiation document ("Project Initiation Document"), Transition project quality plan, Transition product map and Transition product descriptions;
 - (b) production of work schedules for the required effort of the AUTHORITY and other current service providers;
 - (c) production of a fully resourced, resource levelled, draft Transition Plan based on the Transition Plan requirements in Annex A of this Schedule 3 (Transition);
 - (d) production of Acceptance Test Scripts for all agreed deliverables;
 - (e) agreement of items set out in paragraphs 2.2(a) to 2.2(d) above with the AUTHORITY;
 - (f) production of a draft operational process flow for the Services;
 - (g) production of tools and infrastructure to be mapped; and
 - (h) Transition resources identified and secured.
- 2.3 The Transition products, Transition product descriptions, Transition product owners and Transition product approvers will be detailed within the Transition Project Initiation Document (PID) which will be produced during pre-Transition for approval by the Transition Project Board, as defined in paragraph 5.1 below.

2.4 During Transition the detailed processes required to perform the Services will be developed, tested, and implemented by the CONTRACTOR. These will be grouped and described with further granularity by the CONTRACTOR during Transition, and those processes which have interdependencies will be identified. The initial groupings for these processes are as follows:

- (a) Management and Governance including:
 - (i) governance board;
 - (ii) define the detailed Escalations Procedures required to perform the full Services;
 - (iii) process and TOR set up;
 - (iv) reports defined; and
 - (v) templates set up.

- (b) Security Management including:
 - (i) physical security processes and procedures;
 - (ii) system security processes and procedures, including security incidents;
 - (iii) security standards and guidelines;
 - (iv) IT Health Check procedures; and
 - (v) any further processes required to perform the responsibilities under and in accordance with Schedule 11 (Security).

- (c) Programme Management Office including:
 - (i) resource recruitment;
 - (ii) set up of infrastructure and customisation of tools;
 - (iii) Service Level / KPI management;
 - (iv) account reporting processes and procedures;
 - (v) development of standard process flows in Development cycle;
 - (vi) financial reporting and management processes and procedures;
 - (vii) third party service provider reporting and management processes and procedures;
 - (viii) planning processes and standards;
 - (ix) resource management processes and procedures;
 - (x) quality management processes and procedures;

- (xi) risk management processes and procedures;
 - (xii) change management processes and procedures;
 - (xiii) library and document management processes and procedures;
 - (xiv) Transition communication plan;
 - (xv) customer communication planning and satisfaction measure approach;
 - (xvi) account administration processes;
 - (xvii) set up of all templates and completion guidelines, and
 - (xviii) training of staff on revised processes.
- (d) Development Services including:
- (i) organisational structure;
 - (ii) resource recruitment;
 - (iii) resource training;
 - (iv) infrastructure set up;
 - (v) tool set up;
 - (vi) yearly, and per release, PID, project plans and impact assessments
 - (vii) yearly and per release, processes, procedures, standards and templates set up;
 - (viii) process and tool testing; and
 - (ix) system mapping and documentation.
- (e) Service Builds including:
- (i) organisational structure;
 - (ii) defining AUTHORITY Customer touch points as described within Schedule 2 (Services);
 - (iii) resource recruitment;
 - (iv) resource training;
 - (v) infrastructure set up;
 - (vi) tool set up;
 - (vii) processes, procedures, standards and templates set up as described in Schedule 2 (Services); and

- (viii) process and tool testing.
- (f) Service Delivery including:
 - (i) organisational structure;
 - (ii) resource recruitment;
 - (iii) resource training;
 - (iv) infrastructure set up;
 - (v) tool set up;
 - (vi) service desk set up;
 - (vii) processes, procedures, standards and templates set up;
 - (viii) Incident Management processes;
 - (ix) resolution and closure process for incidents, change requests that are outstanding at TORD;
 - (x) Problem Management processes; and
 - (xi) process and tool testing.
- (g) Service Support including:
 - (i) organisational structure;
 - (ii) resource recruitment;
 - (iii) resource training;
 - (iv) infrastructure set up;
 - (v) tool set up;
 - (vi) IT Service Continuity Management (ITSCM) – establish plan to test arrangements;
 - (vii) definitions of ITSCM exclusions and limitations;
 - (viii) processes, procedures, standards and templates set up; and
 - (ix) process and tool testing.
- (h) Technical Design Authority including:
 - (i) resource recruitment; and
 - (ii) processes, procedures and standards set up.

- (i) Tools including:
 - (i) USD set up, configuration and test;
 - (ii) USD reporting set up, configuration and tested;
 - (iii) Visual Studio Team System set up, configuration and test;
 - (iv) Athene set up ready to test;
 - (v) Opsware infrastructure installed and application configured;
 - (vi) CMDB implementation,
 - (A) CI definition; and
 - (B) definition of components to a mutually agreed level;
 - (vii) ATF tool review;
 - (viii) Services and Gateway set up review;
 - (ix) Sharepoint review; and
 - (x) other internal working tools.

2.5 Sign-off of the Transition project will include the demonstration of the Transition milestones and deliverables through a full service lifecycle test proved, where appropriate, through dry run test with AUTHORITY's Customers.

2.6 For the avoidance of doubt, nothing shall preclude amendments to the external and shared Transition milestones described within Annex B of this Schedule 3 (Transition), subject to mutual agreement between the parties, which shall not be unreasonably withheld. Any Change to such Transition milestone shall be by agreement and shall be undertaken in accordance with Schedule 24 (Change Control).

3 Transition Plan

3.1 The CONTRACTOR shall develop a detailed draft Transition Plan by the applicable Transition milestone set out in Annex B of this Schedule 3 (Transition), based on the Transition Plan requirements set out in Annex A of this Schedule 3 (Transition) for approval by the AUTHORITY.

3.2 The detailed draft Transition Plan will be based on deliverables which may have any number of tasks defined in the draft Transition Plan to achieve delivery of each deliverable. The detailed draft Transition Plan shall include the following:

- (a) supporting documentation to identify the obligations, and responsibilities of, the dependencies on and the resources to be provided by the CONTRACTOR, the AUTHORITY, the AUTHORITY's current service providers and other relevant parties, including to ensure that the Transition Plan fully interoperates with all current service provider's exit plan(s);
- (b) the milestones and deliverables which need to be performed to enable the CONTRACTOR to be ready to provide the full Service Levels as described in

Schedule 4 (KPI's, Service Levels and Service Credits) and Schedule 2 (Services) from the Transfer of Responsibility Date including, but not limited to, those detailed in Annex A of Schedule 4 (KPI's, Service Levels and Service Credits).

- 3.3 The Parties shall discuss and agree any amendments proposed by the AUTHORITY to the draft Transition Plan. Once agreed, the draft Transition Plan will be deemed the 'baseline' Transition Plan. The baseline Transition Plan sets out the CONTRACTOR's and the AUTHORITY's respective commitment to key tasks, dates, milestones, deliverables and products.
- 3.4 The CONTRACTOR will track progress against Transition milestones and their deliverables within the Transition Plan.
- (a) Where task(s) move or delivery dates change within the Transition Plan without any impact on delivery by a milestone date, such variations may be made by the CONTRACTOR to the Transition Plan without requiring the prior consent of the AUTHORITY.
 - (b) Where task(s) move or delivery dates change within the Transition Plan which would have an impact on delivery by an internal Transition milestone date, such variations may be made by the CONTRACTOR to the Transition Plan subject to giving prior notification to the AUTHORITY, but without requiring the consent of the AUTHORITY.
 - (c) Where task(s) move or delivery dates change within the Transition Plan which would lead to Changes to deliverables due by an external or a shared Transition milestone date, the CONTRACTOR shall obtain the prior written approval from the AUTHORITY for the milestone variation, such approval not to be unreasonably withheld. Changes to external and shared Transition milestones shall be managed by the CONTRACTOR in accordance with Schedule 24 (Change Control).
- 3.5 The CONTRACTOR or the AUTHORITY may request in writing a change to an agreed milestone. Any change shall be by agreement in accordance with Schedule 24 (Change Control).

4 Transition Milestones

- 4.1 Annex B of this Schedule 3 (Transition) contains the contractual Transition milestones for the Transition project to be achieved by the CONTRACTOR, including the description of each milestone and its agreed status as shared, external or internal as the case may be. The detailed Acceptance Criteria that the CONTRACTOR must satisfy to meet all Transition milestones shall be developed by the CONTRACTOR and set out in the Transition Project Initiation Document to be submitted by the CONTRACTOR to the AUTHORITY for approval. Meeting the contractual Transition milestones as agreed within the Transition Project Initiation Document will be managed by the CONTRACTOR through the use of Acceptance Test Scripts, in accordance with Schedule 10 (Acceptance).

5 Transition Responsibilities

- 5.1 A joint AUTHORITY and CONTRACTOR Transition project board (the "Transition Project Board") will be established to:
- (a) undertake the governance of the Transition;

- (b) confirm Transition milestone completion and to act as an escalation point; and
- (c) select an escalation group in case the Transition Project Board cannot resolve all issues.

5.2 The Transition Project Board will exist for the duration of the Transition Period. The precise terms of reference for this Board will be agreed as part of the Transition project but as a minimum will include:

- (a) review progress against the Transition Plan and other related plans;
- (b) be responsible for sign-off of:
 - (i) Transition milestones;
 - (ii) agreement of any exception reports or plans; and
 - (iii) end of stage reports identifying any lessons to be learnt;
- (c) deal with all aspects of Transition, including:
 - (i) incumbent suppliers;
 - (ii) site co-operation;
 - (iii) information exchanges; and
 - (iv) any application work required;
- (d) review the Transition Plan going forward and discuss any changes requested by either party;
- (e) meet monthly and issue meeting minutes.

5.3 The CONTRACTOR shall:

- (a) provide logistical support for the Transition Project Board;
- (b) co-operate and work constructively with all current service providers throughout the Transition Period;
- (c) provide a dedicated Transition manager ("CONTRACTOR's Transition Manager") to manage and organise all of the CONTRACTOR's responsibilities within the Transition project. The CONTRACTOR's Transition Manager shall during the Transition Period:
 - (i) take full accountability for delivery of the Transition to TORD;
 - (ii) liaise with the AUTHORITY on behalf of the CONTRACTOR;
 - (iii) supervise the conduct of the Transition on behalf of the CONTRACTOR;
 - (iv) provide assistance to the AUTHORITY's Transition Manager (as defined in paragraph 5.5(i) below, in the communication with and co-

ordination of the AUTHORITY resources required to achieve the Transition Plan;

- (v) provide a communication plan and assistance to the AUTHORITY's Transition Manager in communicating with end users and AUTHORITY's Customers throughout the Transition Period; and
- (vi) maintain all the Transition project records under paragraph 6.3 of this Schedule 3 (Transition).

5.4 The AUTHORITY will:

- (a) perform its obligations and responsibilities and ensure that its current service providers perform and meet their obligations and responsibilities as shall be set out in the Transition Plan where it is in scope of their contracts with the AUTHORITY;
- (b) ensure that any dependencies that relate to paragraph 5.4(a) are met;
- (c) use reasonable endeavours to ensure that any current service providers comply with requests for information or other deliverables;
- (d) use reasonable endeavours to provide and ensure that any current service providers provide staff for knowledge transfer;
- (e) use reasonable endeavours to ensure that any current service providers provide the CONTRACTOR with access to relevant information and documentation which the AUTHORITY is entitled to and relating to some or all of the Services during Transition;
- (f) use reasonable endeavours to ensure that those members of its staff (except CONTRACTOR Personnel) whose acts or omissions may affect the running of the Acceptance Test Scripts exercise such skill and care as is necessary to ensure their acts or omissions do not adversely affect the running of the Acceptance Test Scripts;
- (g) not make any changes to the infrastructure, applications or tools covered by this Agreement without the CONTRACTOR's prior written agreement in accordance with Schedule 24 (Change Control);
- (h) use reasonable endeavours to provide contact with any current service providers and facilitate co-operation from current service providers throughout the Transition period;
- (i) provide a transition manager ("AUTHORITY's Transition Manager") to manage and organise all of the AUTHORITY's responsibilities within the Transition project. The AUTHORITY's Transition Manager shall during the Transition Period:
 - (i) liaise with the CONTRACTOR on behalf of the AUTHORITY;
 - (ii) supervise the conduct of the Transition on behalf of the AUTHORITY;
 - (iii) manage the communication with, availability and delivery of the AUTHORITY resources required to achieve the Transition Plan;

- (iv) act as representative of the Transition project to the AUTHORITY's Customer(s), managing all end User and Customer communication requirements;
- (v) ensure that all Transition products that require AUTHORITY approval are reviewed, consulted upon and responded to in line with the dependencies and timescales agreed for the Transition Plan;
- (vi) review, consult upon and respond to Transition incident reports as appropriate.

6 TRANSITION ACCEPTANCE PROCEDURES

- 6.1 The CONTRACTOR shall develop and incorporate the Acceptance Procedures and the Acceptance Criteria for all Transition milestones into the draft Transition Plan.
- 6.2 During Transition the CONTRACTOR shall perform the Acceptance Tests detailed in the relevant Acceptance Test Scripts. Where necessary this shall involve the AUTHORITY. The Acceptance Tests results shall be used by the AUTHORITY to assess the CONTRACTOR's readiness to deliver the Services from TORD to the Service Levels as defined in Schedule 4 (KPI's, Service Levels and Service Credits).
- 6.3 During the Transition Period the CONTRACTOR shall maintain the following records and reports of Transition incidents:
 - (a) a weekly summary of progress including a report and an updated plan presented in the same format as the Transition Plan;
 - (b) logs for Transition incidents, risks and issues. Each Transition incident, and its correlating risk and/or issue, shall be given:
 - (i) a reference number;
 - (ii) a brief description;
 - (iii) milestone reviews for sign off;
 - (iv) one of the following severity codes descriptions:
 - (A) Severity A - the Transition incident represents a failure of an Acceptance Test where the use of the Services with that failure would cause an element of the Service to be unavailable;
 - (B) Severity B - the Transition incident represents failure of an Acceptance Test where the use of the Services with that failure would cause an element of the Service not to be able to meet its Service Levels and/or KPIs; or
 - (C) Severity C - the Transition incident represents failure of an acceptance test where the use of the Services with that failure would still allow the CONTRACTOR to deliver the Services to the Service Levels and/or KPIs.
- 6.4 A Transition incident will be considered to be resolved when the Acceptance Criteria detailed in the relevant Acceptance Test Script have been met or the report has been signed off by the AUTHORITY's Transition Manager.

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- 6.5 The Transition Period will be recorded as successful in relation to the Services if there are no Transition incidents outstanding or only Severity C Transition incidents are outstanding.
- 6.6 The Transition Period shall be recorded as unsuccessful if there are any outstanding Severity A or Severity B Transition incidents.

ANNEX A TRANSITION PLAN REQUIREMENTS

The Transition Plan shall include the following attributes:

- be in MS Project readable format;
- cover all of the scope of paragraph 2 of this Schedule 3 (Transition);
- be fully resourced and levelled, identifying resource names, where possible (and where names cannot be identified, this shall be discussed at the weekly Transition Project Board meetings);
- show the critical path, including all Transition milestones as listed in Annex B of this Schedule 3 (Transition);
- if requested, locate and demonstrate implicit contingencies;
- if requested, identify and agree any dependencies on the AUTHORITY and/or the AUTHORITY's Customers;
- if requested, identify and agree any dependencies on CCN 8 Transition Work Package or business as usual services;
- if requested, identify dates when all infrastructure purchases must be made;
- be constructed in such a way that a weekly consolidated work plan showing exact progress against each task can be reported to the AUTHORITY;
- be constructed in such a way that the relationship between shared, external and internal Transition milestones referred to in paragraph 4.1 of this Schedule 3 is maintained without any impact on the ability to achieve TORD and is reported to the AUTHORITY on a weekly basis.

Any of the above shall be discussed, agreed and actioned through the Transition Project Board.

ANNEX B Proposed Transition Milestones

The following Table may be subject to further review by the Transition Project Board.

Date	Milestone Category	Milestone	Deliverable	Description
28/7/06	Internal	Transition Governance	Planning	Delivery of draft Transition Plan
18/8/06	Internal	Transition Governance	Planning	Transition Plan baselined
18/08/06	Shared	Transition Governance	Planning	PID and Quality Plan produced and agreed with AUTHORITY
24/08/06	Internal	Transition Governance	Quality	Quality Management Documentation Standards; Draft product review; Acceptance Procedures; and Templates created
01/09/06	External	Service Support	Resource Management	Agreed Organisation Chart
05/09/06	Shared	Development Services	Process	Development high level process defined and documented
05/09/06	External	Transition Governance	Dry run tests	All Acceptance Tests agreed by both the AUTHORITY and the AUTHORITY's Customer(s)

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Date	Milestone Category	Milestone	Deliverable	Description
11/09/06	Internal	Service Build	Infrastructure	Service Build infrastructure installed, configured and tested. Test report created.
12/09/06	Internal	Security Management	Procedure	Security incident management process and procedure documented and templates created
15/09/06	Internal	Programme Management Office	Resource Management	PMO Recruitment complete
15/09/06	Shared	Service Build	Process	Service Build high level process defined and documented
20/09/06	Internal	Security Management	Resource Management	Security manager recruited, trained and terms of reference produced
20/09/06	Internal	Development Services	Resource Management	Development resources recruited
26/09/06	Internal	Service Build	Resource Management	Service Build recruitment and training complete
27/09/06	Internal	Programme Management Office	Process	Financial management processes complete and documented
29/09/06	Shared	Service Build	Process	Service Build detailed processes and procedures complete and agreed with AUTHORITY

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Date	Milestone Category	Milestone	Deliverable	Description
03/10/06	Internal	Management and Governance	Process	Service Level and contract management processes complete and documented
03/10/06	Shared	Programme Management Office	Procedure	Service Level reporting pack complete and verified
10/10/06	Shared	Tools	Infrastructure	ATF review, requirements definition, consolidation plan and estimates produced
11/10/06	Internal	Programme Management Office	Infrastructure	Programme library hardware and application installed and configured.
11/10/06	Internal	Service Support	Resource Management	Service support team recruited and trained
18/10/06	Internal	Service Delivery	Process	ITIL Service Delivery processes and procedures created and being implemented.
19/10/06	Shared	Security Management	Process	USD environment ADS created
20/10/06	Shared	Tools	Infrastructure	USD installed, configured and tested
23/10/06	Internal	Service Delivery	Resource Management	Service delivery roles, responsibilities and training complete
23/10/06	Shared	Tools	Infrastructure	Hardware procured and installed. Athene and Opsware procured, installed and set-up and ready for test.
27/10/06	External	Security Management	Procedure	USD environment health check start

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Date	Milestone Category	Milestone	Deliverable	Description
27/10/06	External	Transition Governance	Infrastructure & Resource Management	Preliminary testing and training Complete - Acceptance Tests have completed first run, staff have completed first phase training and all processes have been validated against tools and where required, approved by the AUTHORITY.
27/10/06	Shared	Tools	Reporting	USD reporting set-up, configured and tested
02/11/06	Shared	Tools	Infrastructure	CMDB installed and configured
03/11/06	Internal	Programme Management Office	Process	Customer satisfaction process and procedures documented, reviewed and agreed with the AUTHORITY
03/11/06	Internal	Development Services	Process	Development processes, procedures and templates complete for inception, elaboration, construction, stabilizing and Transition phases.
03/11/06	External	Transition Governance		Dry run tests and cut over plan complete – second Acceptance Tests through live scenarios have been completed and tools and processes have met Acceptance Criteria. Second level training is completed for all staff. Cut over plan is issued to the AUTHORITY for review.

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Date	Milestone Category	Milestone	Deliverable	Description
07/11/06	Shared	Transition Governance	Dry Run Tests	In conjunction with the AUTHORITY, the Transition team will engage with the AUTHORITY's Customer(s) to undertake a dry run of a set of priority processes which may include Service Builds, incident raising with the Service Desk, access to experts, escalation and reporting of Requests for Information (RFI) and Requested for Change (RFC). The outcomes of the exercise will include a review of any issues or concerns raised in the dry run tests and the post implementation review milestones
08/11/06	External			Go/No Go Live point – Check point stage to confirm all previous milestones have been met, no Transition incidents are outstanding that would prevent go live, cut over plan is acceptable to the AUTHORITY.
11/11/06	External			Transfer of Responsibility Date
13/11/06	Internal			Service Live confirmed – agreed checks have been carried out against Services and all checks show service active and working.
17/11/06	Internal	BAU Service	Plan	A plan describing the treatment and target closure date of all open problems and incidents to be produced for review.

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Date	Milestone Category	Milestone	Deliverable	Description
08/12/06	External			Project Complete - First Month Service Report has been produced and issued and Post Implementation Review has been issued for approval.