

Digital Directorate  
Geoff Huggins, Director Digital  
E: [Geoff.Huggins@gov.scot](mailto:Geoff.Huggins@gov.scot)

Directorate For Internal Audit And Assurance  
Sharon Fairweather, Director of Internal Audit and Assurance  
E: [DirectorofInternalAuditandAssurance@gov.scot](mailto:DirectorofInternalAuditandAssurance@gov.scot)

Mr Richard Leonard  
Convener Public Audit Committee  
E: [publicaudit.committee@parliament.scot](mailto:publicaudit.committee@parliament.scot)

cc. Minister for Business, Trade, Tourism and Enterprise  
Director of Internal Audit and Assurance  
Permanent Secretary  
Director General Corporate  
Head of Ferries Unit, Transport Scotland  
Interim Director of Corporate Operational Support,  
Highlands and Islands Airports Ltd

28 February 2023

Dear Mr Leonard

## MAJOR ICT PROJECTS

Thank you for your letter of 21 December 2022 in which you seek additional information regarding the accountability and governance structures for major ICT projects and programmes. This follows our appearance at the Public Audit Committee (“the Committee”) on 8 December 2022.

We also note your subsequent email of 21 December 2022 requesting further information on the Calmac Ferries booking system, and 16 January 2023 requesting further information on the budget allocation for Highlands and Islands Airports Ltd.’s Air Traffic Management Strategy Programme.

We welcome the opportunity to provide clarity on the points you raise, and we have attached a response to each point in the annex below.

We hope that you find this information helpful and would of course be happy to provide any further detail that you may require.

Yours sincerely

**Geoff Huggins**  
Director Digital

**Sharon Fairweather**  
Director of Internal Audit and Assurance

Victoria Quay, Edinburgh EH6 6QQ  
[www.gov.scot](http://www.gov.scot)



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**1) The Committee noted that its scrutiny of Major ICT project updates would benefit from the inclusion of the following information:-**

- **The job title of the most senior person accountable for each project**
- **An assessment of whether each project is on time and on budget.**

**Response:**

We propose to include both the Senior Responsible Owner and Accountable Officer job titles into future Digital Assurance Office updates on major digital projects.

With regards to whether each project is on time and on budget, I can confirm that we are considering ways to improve reporting as part of the 2023 Digital Programme.

**2) The Committee requested an example setting out of all of the elements examined at each stage of the assurance process, from the initial technical appraisal to sign off on the project. The Committee asked that we use Transport Scotland's new booking system for CalMac Ferries Ltd as a case study, and requested information on why the booking system was six years late.**

**Response:**

The governance arrangements for the Ar Turas project are atypical. Transport Scotland's Investment Decision Making Board approved the business case for the Ar Turas project and the Senior Responsible Owner role is fulfilled by its Head of Ferries Unit. The key implementation and day to day management and contractual arrangements of the new service however are delivered directly by Calmac Ferries Ltd. The Chief Executive of CalMac Ferries Ltd is the Project Sponsor.

Transport Scotland is within the scope of the Technology Assurance Framework, administered by the Digital Assurance Office, however Calmac Ferries Ltd is outwith scope. Both organisations have worked closely with the Digital Assurance Office to ensure that the project observes the Technology Assurance Framework. While not within the scope of the Technology Assurance Framework or the Ar Turas project, Calmac is also engaging with the Digital Assurance Office to carry out a Digital Standard assessment of the Calmac website and App through which users will access the new Ar Turas service.

In addition to the independent assurance provided by the Digital Assurance Office, Transport Scotland chairs an Assurance Board which includes key Calmac and Transport Scotland personnel, with the Digital Assurance Office in attendance as observer and to provide assurance advice.

The Assurance Board commissions and receives assurance reviews at each stage – although in practice this is to provide assessment and guidance to Calmac in implementing or taking forward the next step in the development of the system. Calmac also has its own internal governance framework which requires the project to be signed off by its Change Management Board at key points in the development of the business case and the introduction of the system itself.

In relation to the timing of the delivery of the system, it is not accurate to suggest that this is six years late. Calmac note that although included as part of the bid for the Clyde and

Hebrides Ferry Services 2 contract (a requirement for all bidders) the formal approval and funding to proceed with the project was confirmed following consideration by Transport Scotland Investment Decision Making Board in 2019. Procurement commenced later that year. Implementation work commenced in January 2021 so the project is on-track to deliver in just over two years. This is despite the impact of Covid 19 and taking account of the work needed to ensure the system could accommodate the significant complexity of the Calmac network.

By comparison, BC Ferries which operates 37 ferries across 25 routes implemented an eBooking software solution over five years between 2013 and 2018. A much smaller-scale and simpler implementation of eBooking was undertaken by Scandlines which operates ferry services on two routes between Denmark and Germany and was delivered over 13 months.

The table below sets out the independent assurance reviews which have been carried out or are planned on the project. While there are standard assurance gates in place for major projects these are frequently supplemented by bespoke health checks to consider particular aspects of a project or Assurance of Action Plans to consider progress taken in response to previous recommendations.

The scope of the Digital Assurance Office Pre-Procurement, Delivery and Go-Live Gates carried out on the Ar Turas project followed the standard Technology Assurance Framework process. The latest version of checklists used for these reviews are included as a separate attachment, “**Technology Assurance Framework – Gate Checklists**”.

There has been some refinement to the checklists since the earlier Ar Turas reviews, however the changes have not been major. The scope of the health checks was set out in the terms of reference for each review.

Date	Review Type	Details
April 2017	Gate 2 (Delivery Strategy) review	The project was initiated prior to the implementation of the Technology Assurance Framework and the first assurance activities were undertaken using the Gateway Review process. The Gate 2 considers the project’s viability, potential for success, value for money, and the proposed approach for achieving the delivery of the project’s objectives.
June 2017	Gate 2 (Delivery Strategy) Assurance of Action Plan	This review considered the action taken in response to the recommendations of the April 2017 Gate 2 review.
August 2017	Pre-Procurement Gate and Digital First Service Standard Discovery Assessment	This was the first review under the Technology Assurance Framework and took the form of a combined Pre-Procurement Gate and Digital Standard assessment. The review considered readiness for commencement of the procurement exercise for a new back office solution for the Clyde and Hebrides Ferry Service.

Date	Review Type	Details
August 2019	Health check	Project work was paused from September 2017 and re-mobilised in December 2018 (pending Transport Scotland's investment decision referenced above). Following consideration of the Outline Business Case in March 2019, the Investment Decision Making Board agreed to proceed with the mobilisation, market engagement and procurement phase of the project. The purpose of this health check was to provide assurance to the Senior Responsible Owner that the new programme team had mobilised and was in a good position to proceed with procurement of the solution over the next 12 months.
October 2019	Pre-Procurement Gate	Given the elapsed time since the August 2017 Pre-Procurement Gate, and the further market engagement carried out by the project a new Pre-Procurement Gate was carried out.
June 2020	Health check (desk based review)	This review examined the revised Invitation to Tender and Procurement Strategy, which arose as a consequence of feedback from bidders indicating a desire to bid for provision of software, as opposed to a fully managed service solution.
August 2020	Pre-Procurement Gate and Gate 3 (Investment Decision) Review	These reviews were carried out in parallel, with some elements of the Pre-Procurement Gate descoped because the Gate 3 scope covered these. The <a href="#">Gate 3</a> considers whether the recommended investment decision is appropriate before a contract is placed. This Pre-Procurement Gate considered components of the project (e.g. cloud hosting, integration support) which may require further procurements if a decision was taken not to include these elements within the software contract.
April 2021	Delivery Gate	Determines if the delivery strategy remains appropriate, is on track and standards are met.
January 2022	Health Check	This considered readiness for a future Go-Live Gate using the Go-Live checklist to frame the review.
July 2022	Health Check	This health check considered progress since the January 2022 health check and the action taken on previous recommendations.
March 2023	Go-Live Gate	Considers whether systems and business processes are ready for service.

While not applicable to the Ar Turas project, assessment for compliance with the Digital Scotland Service Standard is the other aspect of assurance work carried out by the Digital Assurance Office. The depth of assessment is determined following triage of the risk/cost profile of a service. Minimum Evidence Frameworks are in place for both Agile and Waterfall delivery methods which set out the typical evidence expected for each stage of assessment.

We have attached the “**Minimum Evidence Framework**” for a high risk/cost Agile delivery as an example in a separate Excel spreadsheet.

**3) The Committee requested an explanation for what happened to the £45 million allocated to the Highlands and Islands Airports Ltd.'s Air Traffic Management Strategy Programme.**

**Response:**

The project costs reported through the Digital Assurance Office's six monthly updates on major digital projects are estimated whole life costs which are used to help assess the likely assurance requirements for the project. These do not necessarily reflect the actual budget secured by a project.

In the case of the Air Traffic Management Strategy (ATMS) Programme, Highlands and Islands Airports Ltd (HIAL) advise that the estimated costs for the Programme were outlined at an early stage as required by the Programme governance and were confirmed to allow for funds to be committed at each of the Gateway steps in that process. The HIAL Board made the decision to stop the ATMS Programme and therefore the governance process did not progress to the later Gateway stages and the full estimated budget for ATMS was not confirmed or secured.

HIAL has confirmed that the amount spent on the Programme as at 31/8/2022 is £9.97m. The breakdown of this spend has been published on the [HIAL website](#). This includes notes regarding spend on investment for the benefit of the business and currently falling under 'business as usual'. An accounting and audit process to provide the costs solely related to the ATMS programme will be completed for the end of the current financial year.

**4) The Committee asked for the total cost of the Digital Academy to date.**

**Response:**

The total cost of the Scottish Digital Academy since its commencement in 2018 to 31 December 2022 is £2,802,749. This includes staff and programme delivery costs.

**5) The Committee asked for confirmation of whether a threshold for Ministerial approval or sign off for a project exists, and if so, what this is.**

**Response:**

The Scottish Public Finance Manual does not place a threshold for Ministerial approval of projects.

However, in response to the unprecedented level of budgetary pressure caused by inflation, public sector pay and the cost of living crisis, the Scottish Government has been operating a system of Accountable Officer templates whereby all new capital and resource commitments exceeding £1 million require approval by the Minister for Public Finance, Planning and Community Wealth, and commitments exceeding £5 million requiring approval by the Cabinet Secretary for Finance and Economy.

## 6) The Committee asked for the current terms of reference for the Digital Board, and the new terms of reference when agreed in February 2023.

### Response:

The current Terms of Reference for the Digital Board were established in April 2022 and are as follows:-

### Mission Statement

To provide oversight of digital transformation across central government and delivery bodies by acting as a forum for agreeing, monitoring, coordinating and providing assurance of cross-cutting and horizontal digital functions. To bring consistency to decisions requiring a collective view and how these relate to, and enable the delivery of, the Scottish Government's digital transformation objectives. To provide scrutiny of the progress in the delivery of the commitments set out in the [digital strategy](#).

### Roles and Responsibilities

The Digital Board will support the work of the Joint Digital Strategy Leadership Board ("the Joint Board"), which is the top layer of governance co-chaired by Scottish Government Ministers and Local Government Councillors, with the responsibility for overseeing and driving forward the commitments made in the digital strategy. In advance of each Joint Board meeting, the Digital Board will:

- Consider the quarterly 'Actions and Outcomes' reporting pack, which provides an overview of the joint progress status of strategy actions and insights.
- Provide an advisory and challenge function to the progress of strategy actions.
- Identify any significant issues and commission papers or review work on areas assessed that require closer examination, or which need to be escalated for the Joint Board's collective agreement.

### Regular items for consideration

The Digital Board will consider issues such as:

- Strategic fit and alignment across the wider public sector of digital strategy actions in relation to the Scottish Government's broader strategic objectives.
- Areas for strengthening collaboration across central and local government to avoid duplication of work and set shared priorities.
- Strategy actions that are considered to have changed priority in terms of cost, reach and performance.
- Risks (e.g. reputational, financial, operational, compliance etc.) that need to be escalated to the Joint Board.
- How to support and accelerate delivery by matching the right people to the right projects, at the right time, and opportunities to share learning, reuse work and build capability across the wider public sector.
- How members can provide leadership on significant issues identified in relation to their own portfolios or areas of responsibility or influence.
- Any future iteration of the digital strategy.

## Relationship with other Governance and Advisory Forums

The Digital Board will not replicate or replace project-specific governance and assurance processes. It will assist the Joint Board in providing strategic leadership: scrutinising delivery, shaping priorities, and helping to unblock barriers to delivery:

- The Digital Board will work closely with its Local Government counterpart, the Local Government Digital Partnership Board, to bring consistency to cross-public sector decisions requiring a collective view of the Joint Board (Figure. 1).
- The Technical Assurance Sub-Group will support the work of the Digital Board and Local Government Digital Partnership Board by providing advice and guidance on issues relating to digital components and platforms, and underpinning architecture (Figure. 1).

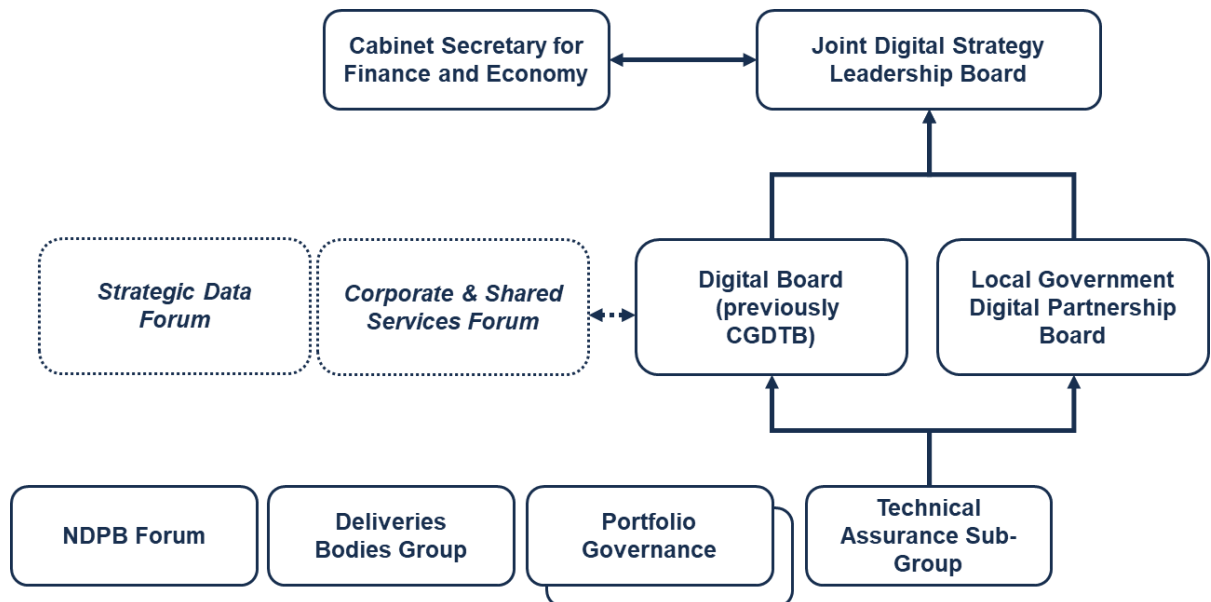


Figure 1

- The Digital Board will work closely with the Corporate and Shared Services Forum on broader issues relating to digital transformation (Figure. 2).

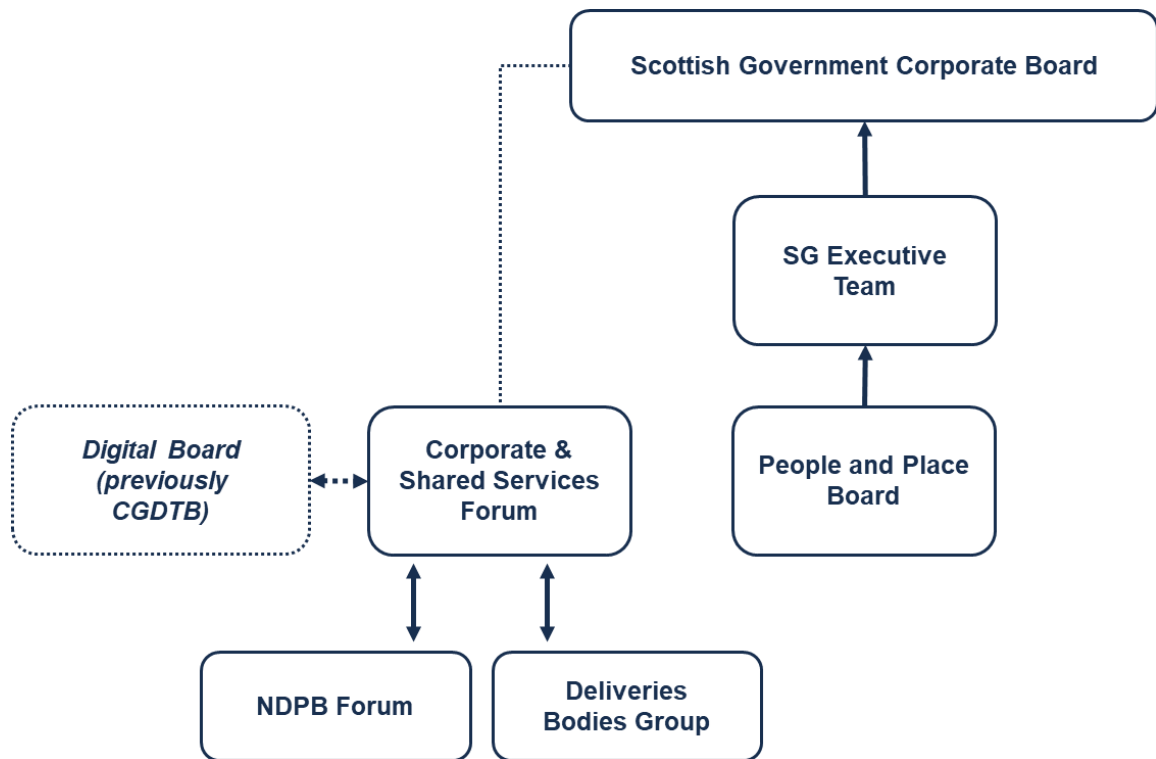


Figure 2

## Frequency and Administration

- The Board will meet quarterly, around 2-3 weeks in advance of the Joint Board.
- Secretariat will be led by the Digital Directorate Policy and Strategy Team.

## Digital Board Membership

- Lindsay Montgomery, Chair
- Geoff Huggins, Director Digital, Scottish Government
- Anne Aitken, Deputy Director, Performance and Delivery Unit, Scottish Government
- Lisa Baron-Broadhurst, Programme Director, Social Security, Scottish Government
- Jonathan Brown, Parliamentary Council, Scottish Government
- Jonathan Cameron, Deputy Director, Digital Health and Care, Scottish Government
- Thomas Christianson, Netcompany
- Jennifer Henderson, Representative of the Central Government Delivery Bodies Group
- Donald McGillivray, Director, Safer Communities, Scottish Government
- Peter Proud, CEO and Founder, Forrit
- Fiona Simpson, Chief Planner, Scottish Government
- Amina Shah, National Libraries Scotland, Representing NDPB's
- Eddie Turnbull, Deputy Director, Agriculture and Rural Economy, Scottish Government
- Martyn Wallace, Chief Digital Officer, Scottish Local Government Digital Office
- Sam Anson, Deputy Director Improvement, Attainment and Wellbeing, Scottish Government
- Mary McAllan, Director of Covid Recovery and Public Sector Reform
- Neil Rennick, Director Justice, Scottish Government



## 7) Digital Board – New Terms of Reference

The new Terms of Reference for the Digital Board are still being finalised. We will provide the Committee with the updated information in a separate letter once this is available.

## TECHNOLOGY ASSURANCE FRAMEWORK – MAJOR PROJECT REVIEW GATE CHECKLISTS

### Business Justification Gate

The project is soundly based at the outset and has a robust Strategic Business Case. It is adequately scoped and has considered and addressed resourcing and skills.

#### PLANNING

- Have the recommendations of Audit Scotland's ['Principles for a Digital Future'](#) been considered as part of the planning process?
- Is the Strategic Business Case sound?
- Have alternative options considered been analysed and documented?
- Where appropriate, is it clear how this technology project contributes to the wider programme?
- Where appropriate, does the project align to the Scottish Government's [Cloud First](#) policy?
- Is the project clear about the business outcomes which it is intended to deliver?
- Is the organisation clear what is driving the project (e.g. IT led or Business led)?
- Have benefits been identified and quantified where appropriate?
- Are the relevant skills and resources in place now for this stage of the project?
- Have the relevant skills and resources been identified for delivery of the project and is there a strategy for sourcing these?
- Have the organisation's corporate functions been consulted and their support secured where there are relevant project dependencies (e.g. for future support arrangements)?

#### GOVERNANCE

- For major investment projects as defined in the [Scottish Public Finance Manual](#), has the project SRO received a formal letter of appointment from the Accountable Officer?
- Are appropriate governance arrangements in place with clear lines of accountability?
- Are risk, issue and dependency management strategies in place?
- Have the key risk and issues (including cyber security) been identified and documented?

- Is there a high level project plan, identifying the critical path and any interdependencies?
- Where appropriate, does this identify delivery of a Minimum Viable Product and is this signed off with stakeholders?
- Is a Benefits Realisation Strategy in place, defined and agreed with stakeholders and are mechanisms in place to track benefits?

## **PROCUREMENT/COMMERCIAL**

- Have contract management issues been considered (e.g. for intelligent customer/client side support)?
- If procurement will be required, have procurement options been considered?
- Has there been appropriate engagement with the procurement function and will there be sufficient support from procurement expertise when needed?
- Have procurement timelines been factored into planning and are the timelines credible?
- Have minimum cyber security and/or data requirements with potential suppliers been established?
- Are the market and risks understood (e.g. for leading edge technology, is terminology understood, has there been any pre-tender market engagement)?

## **STAKEHOLDERS/USERS**

- Have stakeholders been identified?
- Has user research been conducted?
- Is there a communication and engagement strategy in place?
- Are best practice and lessons learned across professional communities for example Digital, Data and Technology Community of Practices and the Once for Scotland collaboration group being shared by the project team with the wider organisation?

## **STRATEGIC OVERSIGHT AND ASSURANCE**

- Is the project plan sufficiently developed?
- Where appropriate, is there a clear understanding of the requirements of the different assurance processes which are being applied to the project (e.g. Technology Assurance Framework and Gateway Reviews)?
- Is there an Integrated Assurance and Approval plan in place?
- For new or transformed services, has the project passed [a Digital Scotland Service Standard](#) assessment following exploratory (Discovery) work?

## STANDARDS

- Does the Project align to the [Digital Strategy for Scotland](#)?
- Where appropriate, has compliance with the [Digital Scotland Service Standard](#) and other national standards been considered?
- Is there a plan for meeting accessibility, equalities and data protection regulations?
- If any deviation from standards is proposed, is there a credible explanation and has the deviation been agreed and signed off?

## DELIVERY METHOD

- Has the delivery strategy and structure been articulated?
- Is there a clear approach to business change, including clear ownership of business change and plans co-ordinated with project delivery?
- Is appropriate documentation being maintained and configured?

## Pre-Procurement Gate

The procurement strategy is sound and the commercial risks are understood.

### PLANNING

- Is the Outline Business Case sound?
- Is the project still viable?
- Is project scope clearly defined?
- Has the project plan been refined and has contingency been built in for timescales, quality and cost?
- Where appropriate, does the project plan align to the programme plan?
- Are procurement activities appropriately reflected in the plan?
- Are the expectations of delivery timescales realistic?
- Is there a contingency plan in place?
- Are business change plans sufficiently developed for this stage of the project?
- Are the relevant skills and resources in place now and planned for the next stage of the project?
- Is there a resource plan in place identifying how further skills and resources will be secured for the project?
- Does the project team have the sufficient capacity and the appropriate capability to manage the delivery in partnership with the supplier?
- Has consideration been given to any necessary, further procurement activity which may be required beyond the project and has a roadmap been considered for this?

### GOVERNANCE

- For major investment projects as defined in the [Scottish Public Finance Manual](#), has the project SRO received a formal letter of appointment from the Accountable Officer?
- Is the governance model active, dynamic and appropriate, with sufficient independent expertise available?
- Is Audit Scotland's '[Principles for a Digital Future](#)' being actively referenced as a resource to support robust ICT project management?
- Are all costs within budget and are appropriate mechanisms in place to manage and control budgets?
- Are key risks being actively managed and mitigated?
- Have key issues been addressed?

- Are key decisions being appropriately documented?
- Does the business understand what will happen with existing data and the data model?
- Is a benefits realisation strategy and plan in place which sets out benefits owners, the process for measuring benefits and is clear about those benefits which will be delivered in-project and post-project?
- Have appropriate quality controls been applied to the sign off of business requirements?
- Is the business content with recovery time and recovery point objectives?
- Are change control processes sufficiently robust to manage potential scope creep?
- Have all design decisions received sign off at the appropriate governance level (e.g. Technical Design Authority) and are these documented appropriately?
- What steps are included within the plan to ensure the MVP does not become the full and final product (e.g. Continuous Improvement is actually applied and achieved)?

## **PROCUREMENT/COMMERCIAL**

- Is the sourcing strategy appropriate and robust?
- Has the sourcing strategy been signed off by the programme board/procurement and are the implications understood?
- Is the Statement of Requirements comprehensive and does it convey a clear articulation of all identified requirements?
- Are all requirements identified in the Statement of Requirements consistent with the requirements identified and documented through requirements gathering/user research?
- Where appropriate is there a clear definition of which requirements are mandatory and which desirable?
- Is there a clear articulation of assumptions and constraints?
- Does the Statement of Requirements clearly set out Service Level Agreements in relation to Defect Management?
- Have key stakeholders such as multi-agency partners had the opportunity to review and endorse the Statement of Requirements prior to sign off?
- Do business expectations match the maturity of the envisaged technical solution and has market testing been explored?
- Has procurement policy been observed?
- Are the evaluation criteria robust?
- Is there a robust and understood evaluation process, with evaluation panel identified and plans for training where appropriate?
- Will the proposed approach achieve whole life value for money?
- Has the treatment/ownership of Intellectual Property Rights (IPR), indemnities and liabilities been adequately addressed?
- Is the form of contract appropriate to the requirement?
- Is there a mechanism in place to manage any change to scope/requirements?

- Is there a clear plan for on-boarding the supplier?
- Is a supplier/contract management plan in place and resource identified and committed for this?
- How will the exit strategy be agreed and factored into the contract?

## **STAKEHOLDERS/USERS**

- Have the business requirements been informed by user research?
- Have the business requirements been signed off?
- Has a robust stakeholder identification exercise been undertaken and a stakeholder power/influence matrix been produced to inform the engagement/communication strategy?
- Is there a communication and engagement plan in place?
- Are best practice and lessons learned across professional communities for example Digital, Data and Technology Community of Practices and the Once for Scotland collaboration group being shared by the project team with the wider organisation?
- Does the organisation have a clear and common understanding of what is being procured?

## **STRATEGIC OVERSIGHT AND ASSURANCE**

- Has compliance with the Technology Assurance Framework been stipulated in the Invitation to Tender?
- Are assurance mechanisms being used effectively?
- Does an Integrated Assurance and Approval Plan exist and is it being actively used?

## **STANDARDS**

- Has compliance with legislation and standards (e.g. [Digital Scotland Service Standard](#), General Data Protection Regulation; technical standards; ISO standards) been built into the Invitation to Tender?
- Have security, resilience and safety been considered and budgeted for?

## **DELIVERY METHOD**

- Is the proposed delivery method appropriate?
- Are plans in place to ensure the required environments are built and supported?
- Where relevant, has integration with legacy systems been considered/analysed and are the risks/challenges known?
- Have hosting arrangements been considered, ensuring where appropriate alignment with the [Cloud First](#) strategy?
- Have non-functional requirements been defined?
- Is there a Quality Management Strategy in place?
- Is appropriate documentation being maintained and configured?

## TESTING

- Is the Test Approach and/or Strategy understood and accepted by the project team and all associated business teams?
- Are sufficient testing staff available for testing requirements?
- For user testing, are sufficient user involvement plans in place and arrangements for ensuring users are available agreed?

## SUPPORT

- Is the strategy for supporting and maintaining the solution in place?
- Have lifetime costs for support and maintenance been considered?



## Delivery Gate

**The delivery strategy remains appropriate and there is a valid Full Business Case. Delivery is on track and standards are met.**

### PLANNING

- Does the business case remain viable?
- Are the relevant skills and resources in place now and planned for the next stage of the project?
- Has the resource plan been reviewed and signed off?
- Are dependencies being managed effectively?
- Is the scope of a Minimum Viable Product understood and agreed by all stakeholders and is it stable?
- Are contingency plans sufficiently developed?
- Is there a Production transition plan in place?
- Have Disaster Recovery plans been developed?
- Is there a Capacity Plan in place for all environments?
- Are business readiness plans sufficiently developed for this stage of the project?
- Are business continuity plans being developed for post-launch?

### GOVERNANCE

- Is Audit Scotland's ['Principles for a Digital Future'](#) being actively referenced as a resource to support robust ICT project management?
- Is the project governance providing appropriate control and oversight?
- Does the project/programme board have sufficient independent expert advice available if needed?
- Are key risks being actively managed and mitigated?
- Are key issues being addressed?
- Has action been taken to mitigate any past or future deviations to time, quality or cost?
- Are there effective change management processes in place?
- Has the benefits plan been updated and do the descriptions and quantification of benefits remain current?

- Are benefits being actively managed and are these consistent with those identified in the Benefits Realisation Strategy?
- Is there ownership and accountability for the realisation of benefits?

## **PROCUREMENT/COMMERCIAL**

- Is commercial management in place?
- Are supplier performance levels agreed?
- Is supplier performance being measured and within tolerance?
- Are there any changes since award of contract that will affect business change plans or impact on the viability of the contract (e.g. pose risk of market challenge)?
- Is there an ongoing understanding of the market and the supplier's commercial model?

## **STAKEHOLDERS/USERS**

- Is the communication plan being actively managed and feedback sought?
- Are stakeholders being actively engaged in the project?
- Is there evidence of sustained user engagement?
- Are best practice and lessons learned across professional communities for example Digital, Data and Technology Community of Practices and the Once for Scotland collaboration group being shared by the project with the wider organisation?
- Have/are users been involved in testing?
- If internal staff require training/knowledge transfer are there active plans for managing this?
- Is ownership of this new service clearly defined and understood?

## **STRATEGIC OVERSIGHT AND ASSURANCE**

- Are assurance mechanisms being used effectively?
- Does an Integrated Assurance and Approval Plan exist and is it being actively used?

## **STANDARDS**

- Are IT standards being met in relation to:
  - Application Architecture
  - Application Design
  - Architecture Design
  - Security Design
  - Data provisioning/migration
- Are the right plans in place to ensure that the solution meets security standards? (e.g. penetration testing; Cyber Essentials).
- Where appropriate, is the service compliant with the [Digital Scotland Service Standard](#)?
- Have accessibility, equalities and data protection been built into the solution?
- If personal data is being collected, is there a Data Protection Impact Assessment, privacy notice and information asset record in place?
- Can the solution respond to a subject access request? (e.g. can the user download their own records rather than manual interrogation of the system being required to fulfil subject access request requirements).

## DELIVERY METHOD

- Is the delivery approach sound?
- Where appropriate, are the principles of the [Cloud First](#) strategy reflected in the solution?
- Is there evidence that the delivery method is being executed well?
- Is there a deliverables log in place?
- Is appropriate documentation being maintained and configured?
- Are configuration and asset management procedures in place?
- Is there a working prototype?
- Is technical debt being managed efficiently?
- Are incident management processes in place?
- Are defect management processes in place?
- Are data management practices in place?
- Is there an appropriate Roll Back plan if needed?

## TESTING

- Are there appropriate test strategies and plans (e.g. system testing; user acceptance testing; performance testing; operational acceptance testing)?
- Are the testing strategies credible and appropriate to the service?
- Have the test strategies been signed off by the Project Team and, where appropriate, with users?
- Is there evidence of compliance with the test strategies?
- Have the Test Plan(s) been signed off across the test levels (e.g. functional, non-functional and acceptance) by the Project Team?
- Are exit and entry criteria for tests being achieved, or likely to be achieved?
- Are defects being managed appropriately?
- Do testing metrics indicate that the delivery model is effective?

## **SUPPORT**

- Has the support strategy been reviewed and is it appropriate to the solution?
- Are the conditions for entry into business as usual being developed to enable monitoring of progress towards go-live?
- Where appropriate, are staff being trained to support the system or are other arrangements in place/being planned (e.g. supplier/3rd party supplier support)?
- Where appropriate, are knowledge transfer arrangements in place (e.g. from the supplier to the business)?

## Go-Live Gate

The solution is ready to be launched into production use and the organisation is ready to accept the business change.

### PLANNING

- Does the business case remain viable?
- Is there an approved and resourced go-live plan in place?
- Is there an approved business change plan in place?
- Is the organisation ready for the business change?
- Are benefits realisation plans still viable?
- Are business continuity plans in place and tested?
- Are performance management plans in place?
- Are the relevant skills and resources in place to support the solution once it is in Production?
- Are dependencies being managed effectively?
- Has the IT deployment plan been approved and tested?
- Does the IT deployment plan have checkpoints and rollback points and are these credible?
- Is there a tested Disaster Recovery plan in place?
- Is there a Capacity Plan in place for all environments?
- Where appropriate, are data sharing arrangements in place?

### GOVERNANCE

- Is the project governance providing appropriate control and oversight?
- Is the governance for approving the launch into live use understood and documented?
- Are governance arrangements in place post-launch, including accountability for and monitoring of benefits realisation?
- Has ownership of the new service once launched been formally recognised across the organisation?
- Is system and user documentation approved and subject to configuration management?
- Are key risks being actively managed and mitigated?
- Have key issues been addressed?

- If there are unresolved issues, can go-live be deferred or, alternatively, are the risks of launching with unresolved issues fully understood, documented and is the risk acceptable?
- Are there effective change management processes in place?
- Have all changes to the solution been authorised?
- Are incident and problem management processes in place for post-launch?

## **PROCUREMENT/COMMERCIAL**

- Is commercial management in place?
- Have the necessary sign-offs taken place to demonstrate completion of contract?
- Is supplier performance measured and acceptable?
- Are there any changes since award of contract that will affect project delivery and are these appropriately documented and understood?
- Is there an ongoing understanding of the market and the supplier's commercial model?
- Are arrangements in place to manage ongoing supplier relationships?

## **STAKEHOLDERS/USERS**

- Is the communication plan in place to support the launch and live operations?
- Have stakeholders been actively engaged in the project?
- Do stakeholders have confidence in the solution?
- Are best practice and lessons learned across professional communities for example Digital, Data and Technology Community of Practices and the Once for Scotland collaboration group being shared by the project team with the wider organisation?
- Is there a plan for ensuring lessons learnt are embedded in future projects across the organisation?
- Have users been involved in testing and signed off the solution?
- If appropriate, have internal staff been trained/gained knowledge transfer to enable operational use of the solution?
- Are plans in place to support users in the immediate period following launch (e.g. helpdesk, floorwalkers)?

## **STRATEGIC OVERSIGHT AND ASSURANCE**

- Have assurance mechanisms being used effectively?
- Is there evidence that quality standards are being met?
- Has the assurance applied to the project been appropriate?
- Does an Integrated Assurance and Approval Plan exist and is it being actively used?

## STANDARDS

- Have IT standards been met in relation to:
  - Application Architecture
  - Application Design
  - Architecture Design
  - Security Design
  - Data provisioning/migration
- Does the solution meet security standards (e.g. penetration testing; Cyber Essentials)?
- Where appropriate, is the service compliant with the [Digital Scotland Service Standard](#)?

## DELIVERY METHOD

- Is there evidence that the delivery approach has been executed well?
- Have all deliverables been produced?
- Has appropriate documentation been produced and maintained?
- Are configuration and asset management procedures in place?
- Is there a working prototype?
- Is technical debt being managed efficiently?
- Is there a strategy in place for managing and creating value from data assets?
- Where appropriate, is there a roadmap for the future of the system?

## TESTING

- Have all test plans been completed and evidenced via Test Completion Reports and are these accepted by the Project Team? ( e.g. non-functional (i.e. performance, security) testing against exit criteria and acceptance testing against exit criteria)
- Has there been sufficient end to end testing?
- Has the roll back plan been tested?
- Have interfaces with other systems been tested?
- Has any data migration/conversion been tested and signed off by users?
- Are any residual (usually) low defects accepted and workarounds recorded alongside formal acknowledgement on the project risk register for Go-Live?
- Where appropriate, has the formal Automated Regression Pack been accepted by the Operational Team and is it suitable for execution on any future release?

## **SUPPORT**

- Is there an approved support strategy in place and have pre-determined criteria been established for entry into business as usual?
- Where appropriate, have staff being trained to support the system?
- Where appropriate, are Service Level Agreements in place?
- Where appropriate, has knowledge transfer taken place (e.g. from the supplier to the business)?