DFOCVC - Change & Release Management Related Obligations

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| Document filename: | **DFOCVC - Change Release Management Related Obligations** | | |
| Project | **Service Management Standard** | Status | **Published** |
| Owner | **Live Services Primary Care Team** | Version | **2.2** |
| Author | **Service Management** | Version issue date | **12/05/2023** |

**Contents**

[Introduction 4](#_Toc135045768)

[PART A – CHANGE ASSURANCE 5](#_Toc135045769)

[PART B – CHANGE DEPLOYMENT APPROVAL 6](#_Toc135045770)

# Introduction

This document forms part of the Service Management Standard for the Digital First, Online Consultation and Video Consultation component of that standard and describes a number of obligations placed on the Supplier with regard to change management and release and deployment management.

The document has two parts:

Part A - Change Assurance: This describes the assurance obligations applicable to Changes proposed by the Supplier to a Catalogue Solution under clause 22 of the Catalogue Agreement and applies to all Type 2 Catalogue Solutions.

Part B – Change deployment communication: This describes the live deployment communication obligations applicable to Changes proposed by the Supplier to a Catalogue Solution under clause 22 of the Catalogue Agreement.

The Catalogue Authority reserves the right to change, update and re-issue this document to suppliers by following the mechanisms referred to in clause 21 of the Catalogue Agreement.

Unless defined herein, any capitalised terms used in this document shall have the meanings ascribed to them in ITILV4 or a successor, the Catalogue Agreement or Service Management Standard in that order of precedence.

# PART A – CHANGE ASSURANCE

Where the Supplier is intending to make changes to a Catalogue Solution in accordance with clause 22 of the Catalogue Agreement the obligations set out below apply with regard to the required assurance activity.

The Supplier must submit Changes to a Catalogue Solution initiated by the Supplier under clause 22 of the Catalogue Agreement to additional Capability assessment and/or Compliance Testing (as applicable) in the manner set out in the Catalogue Onboarding Process ancillary document where:

1. the Change necessitates (on the basis of a reasonable and balanced determination) a variation to the evidence previously provided under the Catalogue assurance and/or compliance testing regime for that Catalogue Solution; or
2. the testing of the Change requires the involvement of the Catalogue Authority in accordance with one or more of the Standards or a Model Interface Licence applicable to that Catalogue Solution.

Where additional Capability assessment and/or Compliance Testing (as applicable) is required for a Change in accordance with paragraph above, the Supplier must submit a Release Scope Definition to the Catalogue Authority setting out:

1. a high-level description of the proposed Change;
2. the drivers for the proposed Change;
3. a high-level description of any changes required to the evidence previously provided under the Catalogue assurance and/or compliance testing regime for that Catalogue Solution required as a result of the Change in question;
4. a description of the capability assessment and/or compliance testing activity required for the changes set out under item c);
5. a high-level description of the activation / deployment and back out approaches and timescales;
6. any key deployment related risks;
7. a target assurance and activation / deployment timeline; and
8. any other relevant information.

Once drafted, the Supplier shall issue the Release Scope Definition by email to  [liveservices.central-changemgmt@nhs.net](https://hscic365-my.sharepoint.com/personal/palu1_hscic_gov_uk/Documents/GPIT/VC-OC%20Framework/SM%20Standard/%20liveservices.central-changemgmt@nhs.net) for review.

The Supplier:

* accepts that the live deployment of a Change covered by the above must not occur until the relevant assurance and compliance testing has been successfully completed; and
* shall issue the Release Scope Definition for review and approval at the earliest appropriate opportunity and shall ensure that, in planning the live deployment date, a reasonable time is allocated to (a) the review and approval of the Release Scope Definition and (b) the execution of the anticipated assurance and compliance testing required for the Change.

As part of the review of the Release Scope Definition the parties will agree the assurance and/or support to be provided by the Catalogue Authority and the timetable associated with that activity (and each party will use its reasonable efforts to comply with the same).

Following approval of the Release Scope Definition by the Catalogue Authority, the parties shall collaborate to execute their responsibilities as set out in the Release Scope Definition.

A failure to attain compliance approval from the Catalogue Authority for a Change (where such approval is required in accordance with this document) prior to the deployment of such Change into the live environment will be deemed to be a breach of the Catalogue Agreement and the status of the Catalogue Solution in question will be deemed non-compliant until the Catalogue Authority determines that the Change is compliant.

Where the Change applies to a Catalogue Solution or an existing Additional Service, when the Change attains compliance and is deployed into the live environment all existing Service Recipients of that Catalogue Solution and/or Additional Service will be entitled to access to the changes under the existing terms of their Call Off Agreements.

Where the Change introduces a new Additional Service, when the Change attains compliance it will be added to the Catalogue Solution Listing of the Catalogue Solution to which it relates and will then be available for buyers to procure via the Catalogue.

# PART B – CHANGE DEPLOYMENT APPROVAL

Where a Change to a Catalogue Solution meets one or more of the criteria listed in the table below and is not classed as a Standard Change (as defined in ITIL) the Supplier must communicate the details of the change to all relevant Call Off Ordering Parties prior to deploying the same.

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| **Classification** | **Criteria** |
| Clinical risk | Any Change which has a material potential to result in a clinical risk arising where the clinical risk assessment (taking into account a combination of the severity of harm to a patient and the likelihood of occurrence of that harm) results in a hazard risk score of =>4 (unacceptable level of risk) as per DCB0129 Implementation Guidance (section 4.4). |
| Information governance, including Information security, risk | Any Change which has a material potential to result in: (i) a material breach of the information governance obligations; and/or (ii) a material data security breach. |
| Interoperability | Any Change which has a material potential to result in a loss of availability and/or reduced responsiveness and/or loss of function in respect of any Interface within the scope of the Catalogue Solution (which are as set out in the Interoperability Standard) which has been activated by any given Consumer Supplier. |
| National Services | Any Change which has a material potential to result in a material disruption to the National Services (and/or their replacements and/or any new national services introduced via the Standards Roadmap (as specified in the Interoperability Standard)). |
| BCDR | Any Change which has a material potential to (i) result in loss of availability of the Catalogue Solution and/or (ii) materially disrupt planned BCDR testing activities and/or (iii) a material adaptation of the Supplier’s BCDR plans being required. |

In considering whether, or not, a Change has a ’material potential’ to result in any of the scenarios outlined above the Supplier shall act reasonably and shall consider both the likelihood of the relevant event occurring as well as its potential impact.