

The transfer of Genesis to Natural England Ownership – Annex A

PROPOSED DETAILED GENESIS AND GenRep TRANSFER ACCEPTANCE CRITERIA

Acceptance Criteria	Evidence Requirements	Supporting Evidence Reference	Criteria Met Y/N?	Operational Sign-off	Executive Sign-off
A. Funding					
1. A book value and depreciation for Genesis and GenRep should be agreed for NE accounting purposes	Signed off book value for Genesis and GenRep			BSI and erdpIT Accountants	NE Head of Finance and Defra Finance Director
2. The ongoing financial costs of ownership of Genesis should be clarified and documented e.g. support and maintenance, cessation of rental agreement with Defra	Document on financial costs of ownership in place and approved by NE Finance Director			BSI and erdpIT Accountants	NE Head of Finance and Defra Finance Director
3. The value of the transfer of funds from Defra to NE to assist NE in covering the ongoing costs of ownership and what they cover agreed	Sign off by Defra and NE Finance Director of value of transfer.			BSI and erdpIT Accountants	NE Head of Finance and Defra Finance Director

The transfer of Genesis to Natural England Ownership – Annex A

4. Arrangements for and timing of the transfer of money agreed	Sign off by Defra and NE Finance Directors of arrangements and timing			BSI and erdpIT Accountants	NE Head of Finance and Defra Finance Director
5. Agreement with Defra that the value of the transfer of funds for Genesis and GenRep be established as part of the NE's grant in aid from Defra for future years from 2009/10	Signed off agreement between Defra and NE Finance Directors with agreed amount established as part of GIA baseline			BSI and erdpIT Accountants	NE Head of Finance and Defra Finance Director
6. Appropriate arrangements in place within NE to secure for Genesis and GenRep the full value of the transfer from NE's grant in aid	Signed off agreement between BSI Director and NE Finance Director				BSI Director and NE Head of Finance
7. All VAT implications have been identified and properly accounted for	Finance Dept properly consulted, conclusions documented and financial			BSI and erdpIT Accountants	NE Head of Finance and Defra Finance

The transfer of Genesis to Natural England Ownership – Annex A

	budgets set properly to account for VAT				Director
B. The Product					
8. Agreed action plan with RPA auditors in place for Genesis ISO 27001 and BS7799 compliance including arrangements for the monitoring and control of users	ISO 27001 and BS7799 compliance action plan signed off with RPA auditors			PSO IT Systems security Manager and RPA auditor	Head of KMIS
9. Arrangements for security administration within NE have been defined, documented and communicated. This should include a clear definition of roles and responsibilities for security administration.	Formal security administration procedures in place.			PSO IT Systems Security Manager	Head of KMIS
10. Genesis and GenRep signed off as Data Protection Act compliant	DPA compliance statement signed off			PSO IT Systems Security Manager and RPA auditor	Head of KMIS
11. A review of registered users has been undertaken to ensure that access rights have been allocated to all users on a 'needs only' basis and take account of any necessary changes resulting from the transfer (e.g. removal of IBM 'users')	Formal review of user access rights undertaken and signed-off by PSO IT Systems Security Manager			User Support Senior Specialist	PSO IT Systems Security Manager
12. Data held on the Genesis system and GenRep is formally registered with the Data Protection Registrar, in accordance with the Data Protection	Written confirmation from the NE's Data Protection Officer that this has taken place			NE Data Protection Officer	Head of KMIS

The transfer of Genesis to Natural England Ownership – Annex A

Act					
13. All known system defects are documented as problem records on assyst	Assyst register agreed as complete by erdpIT Design Authority			NE Genesis Production Manager	
14. Genesis contains no severity 1, 2 or 3 defects following the DCM	No severity 1, 2 or 3 incidents have occurred for one month prior to handover			NE and CIOD Genesis Production Managers	
15. All Genesis data is accurate and up-to-date, to ensure efficient customer service (including duplicate customer data records)	Data clean-up exercise completed, documented and signed-off			NE Genesis Production Manager	
16. Formal NE Business Continuity and Disaster Recovery Plans are in place	Approved plans in place			Genesis Operations and Development Manager	NE Head of DR
C. Legacy and Liabilities					
17. Genesis and GenRep system documentation is up to date and signed off	Genesis system documentation signed off by erdpIT Programme Director, BSI Director and RPA Accreditation Manager			PSO IT systems Security Manager	erdpIT Programme Director, BSI Director and RPA Accreditation Manager
18. All documentation is handed over to NE and accessible	Documents available on known location on NE shared drive			PSO IT systems Security Manager	Genesis Operations & Development Manager
19. Agreement with Defra to input into future audits and reviews of Genesis and GenRep	Written agreement from CIOD to participate in future audits and reviews			Defra Chief Information Officer (CIO) and PSO IT	Director General Service

The transfer of Genesis to Natural England Ownership – Annex A

				systems Security Manager	Transformation Group (Defra), Head of KMIS
20. Defra to agree to pay for fixes for any severity 1 or 2 defects arising from the data centre move that occur up to end February 2009	Written agreement from CIOD			erdpIT Programme Director and Genesis Operations and Development Manager	Defra CIO and BSI Director
D. People Resource					
21. NE's Genesis Operations and Development Team in place	Fully populated team structure			Genesis Operations and Development Manager	BSI Director
22. NE roles and responsibilities have been clearly assigned and communicated in respect of Genesis, including organisational structure and reporting lines	Documented roles and responsibilities and organisational structure charts			Genesis Operations and Development Manager	BSI Director
23. Genesis Operations and Development Team Manager, Production Manager and Release Manager to have undertaken a maintenance release (MR5) alongside their erdpIT counterparts	All key CIOD resourced contractors to agree to remain on programme until MR5 has gone live			Genesis Operations and Development Manager and CIOD Genesis Production Manager	erdpIT Programme Director and BSI Director
24. Agreement between NE, Defra and key erdpIT programme contractors (CIOD resourced) over their retention and funding (as part of overall funding package from Defra) following hand over of Genesis to NE	Agreement between NE and key contractors over their end dates or contract extensions with funds provided to cover contract extensions			Genesis Operations and Development Manager	BSI Director

The transfer of Genesis to Natural England Ownership – Annex A

25. Specific provision in the funding from Defra for NE to recruit a IT contract manager to manage the commercial contracts with Atos Origin and any other 3 rd party suppliers	Funding package to include agreed amount for NE to recruit a Genesis Commercial Manager			BSI and erdpIT accountants	Defra Finance Director and NE Head of Finance
26. Call off arrangements in place with key CIOD resourced contractors who leave the programme to provide advice/guidance when required	Agreements over availability of key contractors leaving the programme over their availability to provide advice/guidance when needed			Genesis Operations and Development Manager	BSI Director
27. A full Defra to NE transition plan is agreed	Agreed and signed off transition plan			NE and CIOD Genesis Production Managers	Genesis Operations and Development Manager and erdpIT Programme Director
28. Full set of handover documentation from CIOD erdpIT contractors to Genesis Operations and Development Team	Accepted handover documentation from Defra to NE			NE and CIOD Genesis Production Managers	Genesis Operations and Development Manager
29. Appropriate arrangements have been made to ensure that any required knowledge is transferred to NE from other third parties, as a result of the Genesis transfer	Knowledge transfer plan documented and formal sign-off obtained to confirm that knowledge has been transferred			NE and CIOD Genesis Production Managers	Genesis Operations and Development Manager
30. A succession planning strategy is agreed and in place to ensure that	Agreed strategy signed off and in place			NE and CIOD Genesis Production Managers	Genesis Operations and

The transfer of Genesis to Natural England Ownership – Annex A

knowledge of the specific architecture of Genesis is maintained					Development Manager
E. Contractual Arrangements					
31. Ownership of physical assets e.g. hardware has been clarified between NE, Atos Origin and DEFRA	Documentation clarifying ownership is retained			NE and CIOD programme accountants	NE Head of Finance, Atos Origin Commercial Manager and Defra CIO
32. Agreed valuation of Genesis	Signed off book value for Genesis			erdpIT and NE accountants	Defra CIO and NE Head of Finance
33. Agreed write down implications for Genesis valuation	Agreed write down implications			erdpIT and NE accountants	Defra CIO and NE Head of Finance
34. Intellectual property rights have been clarified and agreed e.g. ownership of source code, Genesis system operation etc.	Clarified in contracts between Atos Origin, Defra and NE and accessible to relevant party			Genesis Operations and Development Manager	NE Head of Procurement and Defra CIO
35. Any assets transferred to NE should be suitably recorded in the organisation's asset and financial records	NE financial and asset records include Genesis assets owned by NE			NE programme Accountant	NE Head of Finance
36. New production support contract with Atos Origin to be jointly negotiated and agreed by CIOD and NE	New production support signed-off by NE			Genesis Operations and Development Manager and erdpIT Programme Director	NE Head of Procurement and Defra CIO
37. All contractual arrangements between Atos Origin and IBM are settled	Agreed contracts			erdpIT Programme Director	NE Head of Procurement

The transfer of Genesis to Natural England Ownership – Annex A

					and Defra CIO
38. Appropriate arrangements are in place within NE for managing third party contracts for Genesis e.g. ELSONline	Documented procedures in place for managing third party relationships			Genesis Operations and Development Manager	NE Head of Procurement
39. All contracts with Defra for the hosting and support of Genesis and GenRep are novated to NE	Genesis contracts are between Atos Origin and NE			Genesis Operations and Development Manager and erdpIT Programme Director	NE Head of Procurement and Defra CIO
40. Appropriate in escrow agreements are in place with Atos Origin, to safeguard NE against the risk of Atos Origin ceasing to trade	Clarified in contracts between Atos Origin and NE				NE Head of Procurement
41. Agreement over the ownership of software licences for Genesis and GenRep	Software licences owned by the agreed owner				NE Head of Procurement
42. Appropriate service management arrangements are in place and signed off by NE	NE Signed off service management arrangements			NE and CIOD Genesis Production Managers	NE Head of Procurement
F. Future Proofing					
43. Agreement from Defra that changes to the Defra intranet or other hosting systems that impact Genesis and GenRep will not be made without agreement from NE	Written agreement from Defra				Defra CIO and Head of KMIS
44. Genesis compatibility with NE e-enabling upgrade to Vista has been tested and agreed issue resolution plan is place from CIOD on transfer	Pilot test results agreed. Issue resolution plan (if necessary) signed off and in place			NE and Defra Genesis Production Managers + NE TDA	Defra CIO and Delivery Systems Improvement

The transfer of Genesis to Natural England Ownership – Annex A

					Board
45. An appropriate, formal change control process has been agreed with Atos Origin future changes to Genesis	Formal change control process in place			Delivery Systems Improvement Manager and Atos Production Support Manager	Delivery Systems Improvement Board
46. An agreed maintenance release schedule is n place with Atos Origin	Agreed MR schedule			GSMG	NE Genesis Production Manager