

## GLA eCounting Project Change Control Note



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<b>CCN #</b>	011	<b>Agreement #</b>	ICT12858	<b>Date</b>	15/06/2020
<b>CCN Title</b>	Postponement of Election until 2021				
<b>Originating Party (Authority/Supplier)</b>	CGI				

The following change is requested to the Agreement as identified above:

<b>Change Request</b> <b>(to be completed by the Originator of the Change)</b>
<b>Description of Change:</b>
This CCN011 provides cover for CGI and its suppliers to prepare for and deliver the e-Count for London's elections in May 2021 following government's decision to postpone the election as originally planned for May 2020.
<b>Reason/Justification for the Change:</b>
The COVID-19 pandemic required government to postpone London's 2020 elections from May 7th 2020 to May 6th 2021.
<b>Affected Area(s):</b>
Following the closedown of activities relating to the delivery of the e-Count in 2020, CGI and its suppliers will have to re-visit / complete Delivery Milestones as listed in the Impact Assessment section below in order to prepare for and deliver the e-Count in 2021.
<b>Details of likely impact, if any, of the Amendment:</b>
This CCN011 provisions for the preparation and delivery of an e-Count for London's elections in May 2021. Broadly, the intent for delivery of an e-Count 2021 is to adhere to the terms and conditions of the baseline contract for delivery in 2020, but this is subject to the assumptions and any related variances as detailed in the Impact Assessment section of this CCN011 below.
I request that the described change be considered for inclusion in the Agreement Signature Chris Bruce Date 15/06/2020
Change Request approved by the Originating Party: Signature Mark Cobb Date 15/06/2020

<b>Impact Assessment</b> <b>(to be completed by the Supplier)</b>
<p>In view of Covid-19, the GLA acknowledges and agrees that: (i) there is considerable uncertainty as to the extent of the impact on the performance of CGI's obligations hereunder; (ii) without limiting the foregoing, CGI cannot foresee, plan for, or mitigate all of the consequences relating to or arising from Covid-19, including, without limitation, the actions, recommendations or directives of applicable government authorities and (iii) CGI's obligations, responsibilities or ability to perform may be adversely impacted, hindered or delayed.</p> <p>CGI shall perform its obligations with reasonable skill and care and shall not be liable to the GLA or any third party for any damages howsoever arising from or related to (i), (ii) or (iii) above. In the event of any adverse impact, hindrance or delay arising from or</p>

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related to Covid-19, the parties shall work together in good faith to effect any changes or amendments as reasonably required.

This CCN shall apply only to the 2021 elections. If the Agreement is extended to a subsequent election, the original terms of the Agreement shall apply and any changes will be subject to a Change Control Notice.

Accepting the change of date of London's elections from May 2020 to May 2021, the Parties shall adhere to the terms of the Agreement with respect to delivery of the Services apart from any variances as listed in the Assumptions and Responsibility table below:

#	Assumptions	Responsibility
1	<p>There will be no changes to Smartmatic's eCounting solutions other than those within the two releases as described below:</p> <ul style="list-style-type: none"><li>• <b>Release 1:</b> Changes required to the Workflow Management Systems (WMS), Count Progress System (CPS), and Election Configuration Portal (ECP) in terms of technical refresh, including Visual C++ runtime being updated to the latest version and .Net Framework being updated to version 4.8. This Release will be targeted for end of July 2020 to allow CGI to conduct early testing of its new desktop build (see [2] below) with a technically refreshed version of Smartmatic's eCounting solution;</li><li>• <b>Release 2:</b> Priority 1 eCounting solution enhancements GLA has chosen as listed in the spreadsheet document, <b>CCN011 – Prioritised Enhancements</b>, as attached in the Supporting Documents section below. This release will be targeted for delivery latest mid-September 2020.</li></ul> <p>Note that, as of the writing of this CCN011, the NCSC has not confirmed any recommendations for changes to Smartmatic's eCounting solution. However, database encryption at rest has been discussed, so will be included within <b>Release 1</b> as above. Should any further updates be required by GLA on the back of future NCSC recommendation, they will be handled via Change Control.</p> <p>Smartmatic's eCounting solution will be paired with Fujitsu's fi-7900 scanners for 2021, as per 2020 intent.</p>	Smartmatic

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	2	<p>Changes to CGI's workstation build will be focussed on, but not limited to the following items:</p> <ul style="list-style-type: none"><li>• a move to Windows version 1909;</li><li>• consideration of a change to the manner in which the kiosk mode solution is implemented;</li><li>• inclusion of Smartmatic's updated solution as at [1] above;</li><li>• any changes that are required to the workstation build process;</li><li>• updated FortiClient and security patching.</li></ul> <p>Note that, as of the writing of this CCN011, the NCSC has not confirmed its recommendations for changes to CGI's solution and, as such, no changes are included. Should any updates be required by GLA on the back of future NCSC recommendation, they will be handled via Change Control.</p>	CGI
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	3	<p>Formal test phases will be limited to the following, which will be supported by a Test Completion Report:</p> <ul style="list-style-type: none"> <li>• A single test assumed late-October – early-November 2020 of the solution for the Cold Standby for City Hall, i.e. a mid-count switch from a primary to secondary City Hall solution;</li> <li>• A single End-to-End Test assumed October 2020 to demonstrate that technical refresh and solution enhancements as at [1] and [2] above work as expected and have not impacted the solution's functionality in any way from that as approved for 2020's count. This test will process 50K ballots. A Recount Test will supplement the End-to-End Test;</li> <li>• A single Simulated Bulk Test assumed early November 2020 consisting of a full count across 14 simulated Constituencies using the same robot configuration and ballot numbers as approved for 2020's count. This test will be run with an updated version of Smartmatic's Robot Load Generation Tool, which will support the ScanCheck role;</li> <li>• Two Final Acceptance Tests (FAT) in terms of Dry and Live Runs to respectively replicate a full election count consisting of one physical 700K ballot count in one Constituency Count Centre in combination with 13 simulated constituency counts using Smartmatic's Robots. The physical count for these tests will be resourced 50:50 by CGI and GLA. The Dry Run will be targeted to be run in w/c 30<sup>th</sup> November 2020 and the Live run in w/c 7<sup>th</sup> December 2020. The Test Completion Report will be based on the Live run, but will be supplemented with a sample set of the same batch level vote reports from each run (Dry and Live) and exports of the 'ContestDetail' table. If both of these FAT test Runs (Dry/Live) are successful it will conclude CGI's testing commitment. If the Dry Run test is unsuccessful for any reason and it is not possible to remediate issues before the Live Run, then the December Live Run will be cancelled and will default to the re-run of FAT as detailed below so as to allow time for remediation. Should the Live Run of FAT progress in December and be unsuccessful for any reason, the project will execute the re-run of FAT as below once again providing due time for remediation;</li> <li>• A re-run of FAT as described above, including CGI/GLA resource allocation, in January 2021 will be provisioned for by this CCN011 should it be required in light of any material issues being encountered during the Dry or Live Runs of FAT as above that are agreed as requiring remediation/re-test. The re-run of FAT will be targeted for w/c 18<sup>th</sup> January 2021, if needed, but options to run this earlier will be</li> </ul>	CGI / GLA
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	<p>considered if CGI can demonstrate that Entry Criteria aligned to successful completion of remediation have been met.</p> <ul style="list-style-type: none"><li>• A recount of 20K ballots will be provisioned at the end of FAT should the software have materially changed since the version used to perform the original recount test at the End-to-End test phase.</li></ul> <p>Should any formal testing be required further to the proposed run/re-run of FAT in January 2021 as above, it will be jointly resourced by CGI/GLA and will be run soonest thereafter. Workaround options will be considered by the GLA to avoid a need to run any testing further to the January run/re-run of FAT.</p> <p>Formal test phases as above will be supplemented with CGI's own internal testing as needs be to ensure readiness for Cold Standby and FAT.</p> <p>In order to embed knowledge within Live Count Teams, GLA provisioned resource for testing as above will, where possible, include Borough personnel nominated as Super Users by their respective CRO. All GLA provisioned resource will act under the direction of CGI's Test Manager, whom will be in role as Constituency Count Centre Manager (CCCM).</p> <p>Testing as above will make use of the internal test version of the Election Configuration Portal (ECP) technically refreshed as needs be by Smartmatic.</p> <p>The above will be supplemented by Security &amp; Compliance testing with a base assumption that this will not change in scope from that implemented for 2020. If the scope of these tests need to materially change, this will be handled via Change Control. The GLA wish to appoint an independent third party to review penetration test results and remediation actions. Third party engagement and recommendations shall fit within the constraints of the detailed plan as per 2021-MS2.</p> <p>Resilience testing will be limited to desktop specific resilience tests and the Cold Standby test as above. Additional resilience testing will be subject to Impact Assessment and Change Control</p> <p>All test ballot paper sets will be taken from the City &amp; East Constituency set as agreed for testing executed in 2019/2020.</p>	
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4	<p>Barring any amendments required to cater for changes as listed at [1] and [2], the testing phases repeated from 2019/2020 as at [3] above will replicate the approach as taken in 2019/2020 in terms of Entry and Exit Criteria and will utilise / refresh all deliverables in terms of re-use, e.g. Test Completion Reports etc.</p> <p>Further to the above, the GLA will advise CGI of any changes it requires to test Entry and Exit Criteria from those that applied in 2019/2020 for the purposes of 2021 project testing by, latest, close of play Friday 17th July 2020 in order to allow achievement of 2021-MS2, Approval of Implementation Plan and Test Criteria, to the July 2020 timeline as below. CGI and the GLA will act reasonably with respect to changing Entry and Exit criteria on the assumption that this does not materially impact upon resourcing, timeline or solution.</p> <p>Being a new test phase for the 2021 project, Entry and Exit Criteria for Cold Standby testing will agreed between the GLA and CGI in project to a time line to be agreed, but no later than a month ahead of the plan to run this test.</p> <p>The Working Groups as per R1 Project and Delivery Management of the contract shall be reviewed and re-activated as necessary. The meeting schedule shall be agreed by the GLA and CGI.</p> <p>Any amendment to Entry and Exit Criteria after the Criteria are agreed will be handled via Change Control.</p>	CGI / GLA
5	<p>The onus on CGI to provide classroom training for Borough Constituency Count Teams in support of the 2021 count is removed by this CCN011, i.e. Constituency training days as to be provided by CGI will only consist of a Familiarisation session and a Mock Count.</p>	CGI

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6	<p>eLearning materials will be enhanced to provide necessary support to Borough Constituency Count Teams in place of classroom training as at [5]. CGI has provisioned 30 consultant call-off days for use by GLA to implement enhancements that it will advise. The 30 consultant days are to be split as below:</p> <ul style="list-style-type: none"> <li>• 5 days in September 2020 to establish an initial list of enhancements to be progressed;</li> <li>• 25 days across November 2020 and January 2021 to implement and gain approval for the agreed list of enhancements. Any changes as agreed must not impact the overall timeline.</li> </ul> <p>The option to engage a small number of Borough personnel nominated as Super Users to advise on eLearning enhancements will be investigated by GLA.</p> <p>eLearning will be made available to Boroughs from 1<sup>st</sup> February 2021 through to 30<sup>th</sup> April 2021. The Contractor will explore options to look at provisioning the eLearning Platform from 8<sup>th</sup> February 2021 to 8<sup>th</sup> May 2021</p>	CGI / GLA
7	<p>The onus on CGI to provision Rathmhor resource to support test phases and Constituency Count Team training is removed by this CCN011. Support for these activities will be provided by CGI resource with GLA guidance.</p>	CGI
8	<p>Material impact to CGI in terms of 2020 Constituency Count Centre locations and/or layouts changing within their allocated Count Venues will be handled via Change Control.</p>	GLA / CGI
9	<p>GLA will provision 2 forklifts in each Count Venue (Alexandra Palace, ExCeL and Olympia) in support of Constituency Count Centre build/set-up/teardown in count week as below:</p> <ul style="list-style-type: none"> <li>• Wednesday 5<sup>th</sup> May 2021 – All day in terms of Count Venue opening / closing time;</li> <li>• Friday 7<sup>th</sup> May 2021 – Close of count to close time of Count Venue;</li> <li>• Saturday 8<sup>th</sup> May 2021 – All day in terms of Count Venue opening / closing time.</li> </ul> <p>Additionally, GLA will make provision for movement of kit into and out of City Hall in support of count set-up and teardown.</p>	GLA
10	<p>No changes are required to the numbers of Count Venue/ Constituency Count Centre kit or count peripherals from those as agreed for 2020. See CGI's spreadsheet document, <b>CCN011 - Count Venue Kit Allocation List</b>, within the Supporting Documents section below. This will be kept under review in light of any Covid-19 requirements</p>	CGI
11	<p>The 4<sup>th</sup> and 9<sup>th</sup> floors within Alexandra House will remain available to CGI for use as its Project Office location in on-going terms until the dates as shown below:</p> <ul style="list-style-type: none"> <li>• 4<sup>th</sup> Floor – Friday 11<sup>th</sup> June 2021;</li> <li>• 9<sup>th</sup> Floor – Wednesday 31<sup>st</sup> March 2021.</li> </ul> <p>CGI will contract direct with Haringey for this space</p>	CGI

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12	Further to [11], Constituency Count Team training will be scheduled to conclude no later than Friday 19 <sup>th</sup> March 2021.	GLA / CGI
13	Further to [11], CGI will reduce the Test Count Centre capability on the 4 <sup>th</sup> floor within Alexandra House from the start of April 2021 to a maximum of 5 Scanning and 5 Adjudication stations to a) re-purpose kit for inclusion in Live Constituency Count Centre Kit Readiness Testing b) provision Project Office working space.	CGI
14	There will be no material changes to the Smartcard issuing process and the GLA shall ensure that Constituency Count Centre teams will arrive early enough at their allocated Count Venues on Friday 7 <sup>th</sup> May 2021 to assure a prompt start for respective counts at 0800. CGI and the GLA will act reasonably with respect to changing the Smartcard issuing process on the assumption that this does not materially impact upon kit provision, resourcing, timeline, solution or cyber security.	CGI / GLA
15	The GLA will decide which reports they require to be produced post count from the standard reports set on offer from Smartmatic's software, on the assumption that these reports are able to be produced within the timescales needed by the CRO or GLA on Count day.	CGI / GLA
16	550 new Ballot Paper Trays will be provisioned for the purposes of 2021's test phases and Constituency Count Team training.	CGI
17	It is assumed that the existing test City & East ballot paper set is of sufficient physical quality for use in testing as described at [3] and that any count result variances as a consequence of the condition of individual ballot papers is acceptable to the GLA, e.g. where the condition of ballot papers forces them to be adjudicated.	CGI / GLA
18	The onus on CGI to engage an Electoral Commissioner is removed by this CCN011. GLA will provide any advice/guidance CGI requires on matters that are electoral in nature.	GLA
19	The scope of Kit Readiness Testing (KRT) will remain the same as planned for 2020.	CGI / GLA
20	The opportunity for a Constituency Count Team representative to witness KRT for their Constituency Count Centre in person will be offered up to Constituency Teams by GLA, but there will be no onus on them or GLA to participate to provide sign-off. In either case, CGI will retain test outputs for inspection by respective Constituency Count Team representatives/the GLA and for comparison purposes come the execution of Venue Acceptance Testing on Thursday 6 <sup>th</sup> May 2021 in respective Constituency Count Centres. CGI will provide a checklist to Boroughs of the kit that has been tested as allocated to their Constituency Count Centre, as per <b>CCN011 - Count Venue Kit Allocation List</b> as attached in the Supporting Documentation below.	CGI / GLA

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21	CGI will store Ballot Box Peripherals, Scanners and all other Count Venue/Constituency Count Centre kit until they are due for delivery / use in 2021.	CGI
22	CGI will break down the total number of Ballot Box Peripherals as detailed in its document, <b>CCN011 - Count Supplies List</b> , as attached in the Supporting Documents section below, into subsets as required by respective Boroughs and will facilitate delivery to them.	CGI
23	Smartmatic will retain possession of the Ballot Boxes (11,276) until they are due for delivery in 2021. Smartmatic will break down the total number of Ballot Boxes into subsets as required by respective Boroughs and will facilitate delivery to them.	Smartmatic
24	As a point of clarity, storage facilities used by CGI/Smartmatic will not need to be bonded as this status relates to import and export of goods and the payment of custom duties and has no relevance to the 2021 election count.	CGI / Smartmatic
25	The Scanners to be retained by CGI as per [21] above will be serviced by Fujitsu before they take part in KRT (assumed January 2021).	Smartmatic
26	The Scanners to be retained by CGI within its test Count Centre on the 4 <sup>th</sup> floor in Alexandra House will be serviced by Fujitsu after they take part in test phases as detailed at [3] above (assumed January 2021).	Smartmatic
27	CGI will place Smartmatic's eCounting solution software into Escrow for 1 year post successful FAT.	CGI
28	Further to [3], provision will be made for a Cold Standby for City Hall as described in CGI's document, <b>CCN011 - Cold Standby for City Hall – Approach to Implementation and Testing</b> , as attached in the Supporting Documents section below. Entry and Exit criteria for testing of this part of the solution will be agreed with the GLA in project and will be aligned to the approach within this document.	CGI
29	On the assumption of no material change to the architectural approach from 2020, CGI's infrastructure can be locked down in terms of its design and implementation in the test environment and in terms of intent for Live implementation no later than the end of September 2020.	CGI
30	CGI will reduce its Deputy Constituency Count Centre Manager (DCCCM) provision from 2 to 1 for each respective Constituency Count Centre team. The reduction in these roles will be back-filled by Borough staff who will be nominated as Super Users by their CRO. Where possible, these staff will support CGI's key test phases as at [3] above so as to gain and embed count knowledge.	CGI / GLA
31	The GLA will take responsibility for production of Count Venue diagrams for 2021 and will engage its supplier, Adfield Harvey, to do the work. The GLA will manage Adfield Harvey in this regard and will ensure any updates CGI requires are implemented correctly and in a timely fashion.	GLA
32	GLA will, where appropriate, provide review comment on CGI's deliverables within 5 days of submission.	GLA

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33	GLA to note that the total number of ballot papers to be provisioned for 2021, and the related split between polling and postal, is assumed to be the same as that agreed for 2020. It is noted that the electorate for 2021 may not be the same and/or may have a different proportion of postal voters as a response to concerns for a Covid-19 election. The total number of ballots is currently 16.4 million across the 3 competitions, and any change to this number or its split will need to be supported by a Change Control Note.	GLA
34	CGI will provision feed files to the GLA's LondonElects website supplier from its formal test phases as above in the same manner as it did during its preparations for the postponed 2020 election count. Any further support the GLA or its LondonElects supplier requires in this regard may be subject to Change Control Note. The file format will remain the same as was in 2020.	CGI
35	Governance for the 2021 election count project as per this CCN011 will be as agreed in the baseline Contract, but will be supplemented by what has become a routine Friday catch-up call where progress is reviewed and decisions are made. Further to this, CGI or GLA will schedule ad-hoc meetings as necessary to facilitate any additional reviews or decisions that need to be made.	CGI / GLA
36	A full package of technical documentation shall be provided by CGI at two points in time a) in advance of the lockdown being agreed, and b) as per exit of FAT. Should CGI subsequently need to change any aspect of the solution for any reason, this documentation will be further updated in version controlled fashion so as to appropriately track and manage changes, and to provision for any request for CGI and/or GLA audit.	CGI
#	Risk(s)	Mitigation(s)
1	There is a risk to a timely start to work that is essential for a 2021 e-Count if agreement to this CCN011 is itself delayed	<ul style="list-style-type: none"> <li>CGI and GLA to resolve questions relating to this CCN011 in a timely fashion to expedite its agreement;</li> </ul>
2	There is a risk to a timely start of preparation work for 2021's count if the government imposed COVID-19 pandemic lockdown restrictions are not lifted short-medium term to permit access to Alexandra House.	<ul style="list-style-type: none"> <li>Implement remote working as possible using the likes of tele and video conferencing technologies;</li> <li>Facilitate remote working for the likes of the workstation desktop update via firewall access to a Virtual Machine instance.</li> </ul>

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3	There is a general risk to the project approach as agreed via this CCN011 in relation to any advice or mandate from government for the future handling of the COVID-19 pandemic.	<ul style="list-style-type: none"><li>• Project approach to reviewed with GLA and to be revised accordingly via Change Control.</li></ul>
<b>Timetable for implementing the proposed Change(s) and proposal(s) for Acceptance</b>		
The Service Provider and the GLA will implement the changes as proposed within this CCN011 in time for the count for London's elections on Friday 7 <sup>th</sup> May 2021. The baseline plan for achievement of Delivery Milestones is as detailed in CGI's project plan, <b>CCN011 - GLA eCounting 2021 HLP - 20200615 v1.0</b> , as attached in the Supporting Documents section below.		

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### Price of Change(s) (£), including Schedule of Payments: (Payment in arrears post-delivery)

The total cost for this CCN011 is **£5,384,836.29** and is payable as aligned to the achievement of Payment Milestones as listed below.

Delivery Milestone	Delivery Milestone Description	Milestone Date	Percentage Payment	Payment
2021-MS1	2021 Contract Agreement (incl. Storage of Equipment)	Jun-2020	5%	£269,241.81
2021-MS2	Approval of Implementation Plan and Test Criteria	July-2020	5%	£269,241.81
2021-MS3	Updated Solution Software (Desktop Build)	Aug-2020	8%	£430,786.90
2021-MS4	Lockdown of Infrastructure Design and Documentation	Sep-2020	5%	£269,241.81
2021-MS5	Updated Solution Software (P1 Enhancements)	Oct-2020	8%	£430,786.90
2021-MS6	Approval of Security & Compliance Test	Nov-2020	5%	£269,241.81
<b>2021-MS7</b>	<b>Final Acceptance Test (FAT)</b>	<b>Jan-2021</b>	<b>20%</b>	<b>£1,076,967.26</b>
2021-MS8	Delivery of Training – Internal	Jan-2021	2%	£107,696.73
2021-MS9	Implementation of eLearning Training	Feb-2021	2%	£107,696.73
2021-MS10	Constituency Training (Mock Counts) Complete	Mar-2021	5%	£269,241.81
2021-MS11	Kit Readiness Testing (1st Count Venue)	Feb-2021	3%	£161,545.09
2021-MS12	Kit Readiness Testing 2nd Count Venue)	Mar-2021	3%	£161,545.09
2021-MS13	Kit Readiness Testing (3rd Count Venue)	Apr-2021	4%	£215,393.45
2021-MS14	Delivery of Ballot Papers and Ballot Boxes	Apr-2021	5%	£269,241.81
<b>2021-MS15</b>	<b>Completion of Count Activities</b>	<b>May-2021</b>	<b>20%</b>	<b>£1,076,967.26</b>
	<b>TOTAL</b>			<b>£5,384,836.29</b>

Payment of all milestone amounts is to be made within 30 days of presentation of invoice.

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### Supporting Documents:

CCN011 - GLA eCounting 2021 HLP - 20200615 v1.0



CCN011 - GLA  
eCounting 2021 HLP

CCN011 - Count Venue Kit Allocation List



CCN011 - Count  
Venue Kit Allocation

CCN011 - Count Supplies List



CCN011 - Count  
Supplies List.xlsx

CCN011 – Prioritised Enhancements



CCN011 - Prioritised  
Enhancements.xlsx

CCN011 - Cold Standby for City Hall – Approach to Implementation and Testing



CCN011 - Cold  
Standby for City Hal

Impact Assessment prepared by:

Signature Chris Bruce

Date 15/06/2020

Impact Assessment approved by the Supplier:

Signature Mark Cobb

Date 15/06/2020

*MSCobb*

**Expiry of validity of the CCN:**

Date 19/06/2020

Impact Assessment approved by the Authority:

Signature Alex Conway

Date 15/06/2020

*Alex Conway*