

SCHEDULE O
DOCUMENTATION REQUIREMENTS

CONTENTS

1.	INTRODUCTION.....	1
2.	SCOPE OF DOCUMENTATION	1
3.	FORM AND CONTENT	1
4.	GENERAL	2
	ANNEX O-1 DOCUMENT DESCRIPTION SUMMARY.....	1

SCHEDULE O**DOCUMENTATION REQUIREMENTS****1. INTRODUCTION**

This Schedule specifies the contractual, technical and operational documentation which the Contractor will provide to the Authority so that the Authority has sufficient information as it needs to manage the Contract, ensure efficient and cost effective implementation and use of the Services and any contract management tasks and issues that arise.

2. SCOPE OF DOCUMENTATION

- 2.1 Reference to **“Documentation”** or **“Document”** shall mean all documents that the Contractor is required to provide under this Contract in whatever media is specified or that is otherwise deemed appropriate by the Authority, and it includes the documents, information and reports described in this Schedule.
- 2.2 Documentation shall include detailed system documentation, including user manuals, technical manuals, operations procedures, relevant available information about proprietary products, tools and methods, information about current project work.
- 2.3 Unless agreed otherwise by the Parties, copies of all Documentation provided by the Contractor directly to Police Forces shall simultaneously be provided to the Authority for information and retention at the address detailed in the Contract. This Documentation shall include but not be limited to any Orders placed under the Contract as detailed in Schedule R (**Livescan and EIUs**).

3. FORM AND CONTENT

- 3.1 To the extent not already specified in this Schedule or in any other Schedule of the Contract, the Contractor shall work with the Authority to agree the form and content of the Documentation to be provided by the Contractor and such form and content shall be incorporated into Annex O-1 as soon as it is agreed by the Parties.
 - 3.2 Unless otherwise stated the Contractor shall make available to the Authority all Documentation electronically via a web-portal based solution as detailed in Schedule Q (**Contractor's Solution**) to facilitate the efficient and timely sharing of Documentation in a secure fashion between the Contractor and the Authority. The Contractor shall be responsible for the configuration management of the documentation provided through the web-portal.
 - 3.3 If the Contractor indicates that Documentation is to be compliant with recognised methods or processes (e.g. PRINCE2, RUP, ITIL, etc) or Documentation arises from such recognised methods or processes, the Contractor shall comply with the appropriate composition and quality criteria specified by those methods or processes, unless otherwise agreed in advance with the Authority in writing.
- 1.1 The Contractor shall provide a Product Description (as described in PRINCE2) for each document item identified in this Schedule. These Product Descriptions shall be maintained by the Contractor and made available to the Authority through the web portal as described in Clause 3.2 above.

4. GENERAL

- 1.2 The Contractor shall make all versions of the Documentation and other relevant current information relating to the Service, including technical and systems architectures, design, operation, maintenance and testing available to the Authority upon request under the web portal as described in Clause 3.2 above.
- 4.1 The Contractor shall maintain a revision control process in the production of Documentation such that the Authority is in possession of, as far as is appropriate, consistent and up-to-date Documentation relating to the relevant elements of the provision of the Services. The Contractor and the Authority may agree any additional Documentation requirements of the Authority and/or the Police Forces subject to the Change Control Procedure as set out in Schedule L (**Change Control Procedure**).
- 4.2 The Contractor shall supply the Documentation detailed in Annex O-1 at the Milestones or frequency defined, in a form suitable for the Authority to agree or review, where indicated, or for information only, allowing sufficient time for the Authority to carry out the indicated verification method specified in this Schedule.

ANNEX O-1

DOCUMENT DESCRIPTION SUMMARY

Document Set and ID	Document Name	Cross –Reference to Schedule Q or other Schedules (where relevant)
Testing		
1.	Test Plan(s)	Q7
2.	Test Procedure Specification	Q7
3a.	Test Readiness Review Report	Q7
3.	Test Readiness Review Minutes	Q7
4.	Test Summary Report	Q7
5.	Completion Review Minutes	Q1.3
6.	Acceptance Event Report	H3.6
7.	IAR Closure Minutes	H3.6
8.	Installation Checklist	H3.5
Programme Management		
9.	Programme Initiation Review Documentation	Q1.5
10.	Programme Quality Plan	Q1.6 and Q7
11.	Integrated Master Schedule (IMS)	Q1.3 Q1.5 and G Annex 2
12.	Programme Status Review Report (PSR)	Q1.1 and Q1.3
Project Management		
13.	Project Approach	
14.	Risk Management Plan	Q1.3
15.	Communication Plan	Q1.4
16.	Exception Report(s)	Q1.3
17.	Project Board Briefing Reports	Q1.3
18.	Stage Plan	Q1.3 and Q1.5 and Q1.8 and Q7.1
19.	Memoranda of Understanding (MOU)	Q3.1
20.	Engineering Reports	Q1.2
21.	Configuration Management Baseline, including the list of Assets	Q1.2 and Q6.1
22.	Product Breakdown Structure	Q1.3
Training		
23.	Training Plan	Q5.2 and Q5.2.5
24.	User Manuals	Q5.2.4 and Q5.2.5
25.	Training Manuals	Q5.2.5
26.	Training Materials	Q5.2.5
27.	Training Accreditation Scheme	Q5.1
28.	CBT Design and Development Documentation	Q5.2.3
29.	Training Needs Analysis Report	Q5.2
30.	Security Awareness Training Programme	Q9
Transition		
31.	Transition Plan(s)	Q2.1, Schedule G
Development		
32.	Software Development Plan(s)	Q6.1
33.	Requirements Management Plan	Q1.1
34.	Configuration Management Plan	Q1.7 and Q5.1 and Q7
35.	Glossary	D

Document Set and ID	Document Name	Cross –Reference to Schedule Q or other Schedules (where relevant)
36.	Business Process Models	Q6.1
37.	Use Case Model	Q6.1
38.	Use Case Model Survey	Q6.1
39.	Supplementary Requirement Specification	Q1.3 and Q1.7
40.	Requirements Traceability	Q1.3 and Q1.7
41.	COTS Product Evaluations	Q6.1
42.	COTS Products Register	Q6.1
43.	Systems Architecture Model	Q6.1
44.	Conceptual and Logical Data Models	Q6.1
45.	Physical Data Models	Q6.1
46.	External ICD(s)	Q6.1
47.	Livescan Interface Specification	
48.	Usability Analysis	Q6.2
Security		
49.	Part 1 Basic Information	K4
50.	Part 2 Risk Assessment and Management	K4
51.	Part 3 Security Operating Procedures	K4
52.	ISO17799 Statement of Applicability	K4
53.	3 rd Party IT Health Check Report	K4
54.	Semi-annual Health Check Report	K4
55.	Security Risk Assessment	K4
56.	Security Management Plan	K4
57.	Impact Analysis	Q9
Service Management		
58.	Operations and Maintenance Support Plan	Q2.2.2
59.	Incident & Problem Analysis & Review	Q2.2
60.	Service Level Report (SLR)	Schedule F
61.	BS 15000 Audit Report	Q2.2
62.	Interface SLAs	Q2.2.1
63.	Availability Plan	Q2.1.1
64.	Capacity Plan	Q8
65.	Business Continuity Plan	Q2.1.2
66.	Business Continuity Test Report	Q2.1.2
67.	Performance Risk Assessment	Q2.2.4
68.	Performance Models	Q2.2.4
69.	Performance Modelling Report(s)	Q2.2.4
70.	HCI Style Guide	Q6.2

ANNEX O-1

DOCUMENT DESCRIPTION

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
Testing				
1.	Test Plan(s)	<p>Details the scope, approach, resources and schedules of the testing activities for specific phases/iteration within the life of the IDENT1 Service.</p> <p>Identifies the items being tested, the features to be tested, the testing tasks to be performed, personnel responsible for each task and the risks associated with the Test Plan.</p> <p>Within each Test Plan for formal Acceptance Events, a cross-reference matrix shall be included that links each requirement to a particular individual test step or steps, and each test to one or more requirement.</p> <p>Formatted in accordance with the IEEE Standard for Software Test Documentation (IEEE std 829-1998) and includes all relevant sections of the RUP Iteration Test Plan Artefact.</p>	<p>Draft version (for Authority review) no later than 45 calendar days prior to SAR4 (Product Verification Review, as described in Schedule H (Acceptance Procedures)) where the Test Plan applies to formal Acceptance Events, unless otherwise agreed in writing by the Authority.</p> <p>The Authority shall submit consolidated comments to the Contractor on the draft version within 30 calendar days of receipt of the draft version, unless otherwise agreed in writing by the Authority.</p> <p>Final version (incorporating Authority consolidated review comments) within 15 calendar days of the Contractor's receipt of the Authority's</p>	

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
			<p>returned draft version, unless otherwise agreed in writing by the Authority.</p> <p><i>Note: Test Plans produced by the Contractor for test phases prior to acceptance testing shall be made available to the Authority at mutually agreed time periods for review or information purposes.</i></p>	
2.	Test Procedure Specification	<p>Defines the steps for executing a set of test cases or, more generally, the steps used to analyse a test item in order to evaluate a set of features.</p> <p>Will include:</p> <p>Test Design Specification; and Test Case Specification.</p> <p>Formatted in accordance with the IEEE Standard for Software Test Documentation (IEEE std 829-1998) and includes all relevant sections of the RUP Test Script Artefact.</p>	<p>Draft version (for Authority review) no later than 35 calendar days prior to SAR4 (Product Verification Review, as described in Schedule H (Acceptance Procedures)) where the Test Procedure Specification applies to formal Acceptance Events, unless otherwise agreed in writing by the Authority.</p> <p>The Authority shall submit consolidated comments to the Contractor on the draft version within 15 calendar</p>	Q7

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
			<p>days of receipt of the draft version, unless otherwise agreed in writing by the Authority.</p> <p>Final version (incorporating Authority consolidated review comments) within 15 calendar days of the Contractor's receipt of the Authority's returned draft version, unless otherwise agreed in writing by the Authority.</p> <p><i>Note: Test Procedure Specifications produced by the Contractor for test phases prior to acceptance testing shall be made available to the Authority at mutually agreed time periods for review or information purposes.</i></p>	
3a.	Test Readiness Review Report	<p>The Test Readiness Review Report shall detail the Contractors readiness for proceeding to an associated Acceptance Event.</p> <p>The report shall summarise the results of testing activities prior to acceptance testing, provides a list of outstanding problems, roles and responsibilities and a</p>	No later than 7 working days prior to the commencement of the Readiness Review meeting for the execution of an associated Acceptance Event, unless otherwise agreed in writing	Q7

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		schedule of the Acceptance Event.	by the Authority.	
3.	Test Readiness Review Minutes	A written record of what transpired at an associated Readiness Review meeting between the Authority and the Contractor.	As required by the Authority after the Readiness Review meeting.	Q7
4.	Test Summary Report	<p>Summarises the results of the designated testing activities and provides evaluations based on these results.</p> <p>Within each Test Summary Report, a record of requirement verification, including traceability to each contracted deliverable requirement shall be included. As will the Test Incident Report and the Test Log.</p> <p>Formatted in accordance with the IEEE Standard for Software Test Documentation (IEEE std 829-1998) and includes all relevant sections of the RUP Test Evaluation Summary Artefact.</p>	<p>No later than 10 calendar days prior to the Completion Review meeting marking the completion of the associated Acceptance Event, unless otherwise agreed in writing by the Authority.</p> <p><i>Note: Test Summary Reports produced by the Contractor for test phases prior to acceptance testing shall be made available to the Authority at mutually agreed time periods for review or information purposes.</i></p>	Q7
1.	Completion Review Minutes	<p>A written record of what transpired at an associated Completion Review meeting between the Authority and the Contractor.</p> <p>A written record of what transpired at an event meeting between the Authority and Contractor (Minutes).</p>	As required by the Authority after the Completion Review meeting. For Minutes, the Contractor shall deliver the Minutes to the Authority 5 working days after the event and the	Q1.3

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
			Authority shall submit consolidated comments / approval to the Contractor with 5 working days of receipt of the Minutes from the Contractor, unless otherwise agreed in writing by the Authority.	
6.	Acceptance Event Report	<p>The Acceptance Event Report shall provide comprehensive details of the outcome of an Acceptance Event and at a minimum shall include details of:</p> <ul style="list-style-type: none"> Names and roles of participants and attendees. The status of the Acceptance Event environment. The achievement of the criteria for Acceptance Event readiness. The Acceptance Event conduct. The outcome of Regression Testing. The achievement of the criteria for successful Acceptance Event completion. Any deviations from the criteria for successful Acceptance Event completion. Any Defects and 	<p>Draft version (for Authority review) within 30 calendar days of the Completion Review meeting marking the completion of the associated Acceptance Event, unless otherwise agreed in writing by the Authority.</p> <p>The Authority shall submit consolidated comments to the Contractor on the draft version within 30 calendar days of receipt of the draft version, unless otherwise agreed in writing by the Authority.</p> <p>Final version (incorporating Authority consolidated review comments) within 30 calendar days of the</p>	H3.6

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<p>deficiencies in the services or capabilities undergoing acceptance, and an associated resolution plan.</p> <ul style="list-style-type: none"> The requirements verified and/or validated by the Acceptance Event. 	Contractor's receipt of the Authority's returned draft version, unless otherwise agreed in writing by the Authority.	
7.	IAR Closure Minutes	<p>A written record of what transpired at an associated IAR Closure meeting between the Authority and the Contractor.</p> <p>They will include the IAR Closure Report, a draft of which will be provided to the Authority 5 days before the Review.</p>	As required by the Authority after the IAR Closure meeting.	H3.6.4
8.	Installation Checklist	A record that details all necessary equipment has been provided, installed, configured and can be shown to be working in the operational environment (bureaux) as part of Installation Checkout Acceptance Events (as described in Schedule H (Acceptance Procedures))	No less than 7 calendar days prior to the commencement of the associated SAR6 (Operational Acceptance Review), unless otherwise agreed in writing by the Authority.	H3.5
Programme Management				
9.	Programme Initiation Review Documentation	<p>Describes the programme and project management methods and tools to be used throughout the Services.</p> <p>Describes the Contractor's programme and project management structure (including roles and</p>	17 th January 2005	Q1.5

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<p>responsibilities).</p> <p>Validated Requirements Baseline</p> <p>Describes how the Contractor and the Authority will interact at management level.</p> <p>Defines the IDENT1 Programme Lifecycle.</p> <p>The agenda items to be discussed and briefed at the Programme Initiation Review meeting. Such agenda items shall include but shall not be limited to the following:</p> <ul style="list-style-type: none"> • Transition Strategy • Development Strategy • Test and Acceptance Strategy • Capacity Management and Performance Assurance Strategy • Requirements Management Strategy • Communications Strategy <p>For the avoidance of doubt, the above bullet items are not separate deliverable documents.</p> <p>Training Approach</p> <p>High Level Business Process Model</p> <p>Plans for data exchange Business process approach</p> <p>Management Approach.</p> <p>System Architecture Model.</p>		

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		Service Management Strategy. Operations and Maintenance Support Plan.		
10.	Programme Quality Plan	Describes at a minimum: <ul style="list-style-type: none"> • QA Roles and Responsibilities • Quality Criteria • Applicable Standards • QC Procedures • Quality Review Procedures • Schedule of QA activities and Corresponding Quality Log • Subcontractor QA Requirements 	45 calendar days after Effective Date. Updated whenever significant changes occur with Authority approval.	Q1.6 And Q7
11.	Integrated Master Schedule (IMS)	Detailed schedule of milestones and activities in MS Project Format. The IMS shall include the critical path for IDENT1.	Programme Initiation then monthly or whenever significant changes occur with Authority approval.	Q1.3 Q1.5 and G4.3 Annex 2
12.	Programme Status Review Report (PSR)	Details the overall programme status for use at PSR meetings. This shall include as a minimum: <ul style="list-style-type: none"> • Progress against the IMS • Changes to the IMS • Delivery of products defined in the Product Log • Tolerance conditions • Outputs from the Risk Management Board • Risk Log • Issues Log • Change Log • Summary of outcome of any Project Review Authority (PRA) review 	Monthly, delivered at PSR meetings	Q1.1 and Q1.3

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
Project Management				
13.	Project Approach	<p>Defines the type of solution for the products that a project delivers, reason for chosen approach and method for delivery.</p> <p>It shall identify project issues and risks.</p> <p>This document shall be formatted in accordance with the PRINCE2 Project Brief format.</p>	10 calendar days prior to the commencement of any project not identified in Schedule G (Transition).	
14.	Risk Management Plan	<p>This will document the risk management processes activity that the Contractor will be conducting.</p> <p>As a minimum this will include:</p> <ul style="list-style-type: none"> • Risk identification • Risk evaluation • Risk ownership • Risk profiling • Risk reporting • Risk mitigation 	45 calendar days after Effective Date.	Q1.3
15.	Communication Plan	<p>Describes how the Contractor will manage communications relating to IDENT1 in conjunction with the Authority on an annual basis, including but not limited to:</p> <ul style="list-style-type: none"> • User advocate activities • Conference attendance • Newsletter publication • Status reports • Web portal updates • Management reviews • User group activity • Information days. • Deployment activities 	<p>TOR NAFIS.</p> <p>Updated annually as a minimum.</p>	Q1.4

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
16.	Exception Report(s)	<p>Informs the Authority/project board of actual or anticipated project tolerances being exceeded.</p> <p>This document shall be formatted in accordance with the PRINCE2 Exception Report format.</p>	Within 7 calendar days of an exception being identified or as soon as it has been anticipated.	Q1.3
17.	Project Board Briefing Reports	Briefings for the Authority project boards on ad-hoc project and programme related issues.	As requested by the Authority	Q1.3
18.	Stage Plan	<p>Identifies the scope of work to be performed, the schedule it is being performed under, the staffing and any Authority responsibilities during that stage.</p> <p>This document shall be formatted in accordance with the PRINCE2 Stage Plan format.</p>	TOR NAFIS, TOR SAFR, FOC.	Q1.3 And Q1.5 And Q1.8 And Q7.1
19.	Memoranda of Understanding (MOU)	<p>Force Installations to include roles and responsibilities, schedule, specific requirements for each Force Bureau and Custody Suites to include, but are not limited to:</p> <ul style="list-style-type: none"> • Hardware Configuration • Facility Layout diagram • Furniture Requirements • Electrical Power requirements • Heating & Cooling Requirements • Communication Requirements • Data • Personnel • Training • Facility Access procedures and schedule • Data Protection Requirements 	As Required.	Q3.1

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
20.	Engineering Reports	Content is dependent on the topic of the report, but typically will include: <ul style="list-style-type: none"> • Identification of issue analysed • Technical options • Estimated impacts • Recommendations 	As required	Q1.2
21.	Configuration Management Baseline	<ul style="list-style-type: none"> • Full detail of the configuration of the deployed IDENT1 system • A list of Assets as required under Schedule T (Assets). 	<ul style="list-style-type: none"> • At FOC and updated upon any major change • At TOR NAFIS, the final list of Legacy Assets to be provided. 	Q1.2 and Q6.1
22.	Product Breakdown Structure	Description of the hierarchical order of products to achieve key milestones	At Project Initiation and for Next Stage plans	Q1.3
Training				
23.	Training Plan	<p>Training Plan describes the overall IDENT1 training programme. This will include the results of the initial and annual update of the Training Needs Analysis. The Plan will detail the overall strategy and an overview for the subsequent specific training areas of transition, specialist training and training of bureaux trainers. The plan will detail the approach and activities to design and development of the training systems and CBT, including appropriate timescale information. The Plan shall include details of, but not be limited to:</p> <ul style="list-style-type: none"> • Training Customers • Locations 	90 days after Effective Date and updated annually or at appropriate milestones throughout the Term.	Q5.2 And Q5.2.5

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<ul style="list-style-type: none"> • Training Systems • Training Approach • Course Design • Additional Support • Course Timetables • Local Capabilities • Training Delivery reports • Supporting Plans • Training Staff and Qualifications 		
24.	User Manuals	The User Manuals shall describe the use and operational processes of the IDENT1 Services and all aspects of the system.	10 days prior to the deployment of the relevant functionality or service. Updated in line with the rollout of additional functionality or services.	Q5.2.4 and Q5.2.5
25.	Training Manuals	The Training Manuals shall include all relevant details (including, but not limited to, user guides and aides-memoirs) regarding the specific training event.	Prior to associated training event.	Q5.2.5
26.	Training Materials	Training materials associated with the delivery of training courses by organisations such as CENTREX as described in Schedule D (Detailed Operational Requirements) or by Contractor lead events	Prior to relevant training.	Q5.2.5
27.	Training Accreditation Scheme	Description of proposed accreditation scheme for Trainers at Fingerprint Training Schools and its operation	Within 6 months of Effective Date	Q5.1
28.	CBT Design and Development Documentation	Series of documentation addressing the design, development and deployment of the IDENT1 Computer Based Training System.	At appropriate milestones identified in the Training Plan	Q5.2.3
29.	Training Needs Analysis Report	This document shall provide results of the training needs analysis (as agreed between the Contractor and the Authority).	90 days after Effective Date and updated annually throughout the	Q5.2

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
			IDENT1 Contract Term	
30.	Security Awareness Training Programme	The Contractor's Security Awareness Training Programme shall provide annual documented training to all users.	Annually and upon new users being added to the system.	Q9
Transition				
31.	Transition Plan(s)	<p>Describes in detail the roles and responsibilities of the Contractor, Authority, and Bureaux personnel, the procedures to be implemented, and the schedule for each of the Transition events. These will include Transition Plans for transitioning from NAFIS to IDENT1 for England, and Wales and transitioning SAFR to IDENT 1 for Scotland. As a minimum each Transition Plan will include:</p> <ul style="list-style-type: none"> • Transition Strategy • Business Continuity • Data Migration (including BRC) • Training. <p>The Transition Plan shall contain the following information, to be updated by the Contractor throughout the Transition Period in accordance with the following:</p> <p>() applicable activities to be performed by the Contractor relating to and/or, as appropriate, details concerning, in respect of each Transition Milestone, taking account of Annex G-2 of Schedule G (Transition);</p> <p>(i) Transition activities for TOR – England</p>	35 calendar days prior to each Transition. Project in sequence as follows: Scotland, Palms, Migration, SISP.	Q2.1 Schedule G (Transition)

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<p>and Wales;</p> <p>(ii) Transition activities for TOR – Scotland;</p> <p>(iii) Transition activities for FOC – England and Wales;</p> <p>(iv) Transition activities for FOC – Scotland;</p> <p>(v) Transition of Livescan/EIU in (a) England & Wales; and (b) Scotland as separate exercises;</p> <p>(vi) migration of SAFR data and information to IDENT1 Service;</p> <p>(vii) back record conversion activities – for England and Wales, and Scotland (including England & Wales Palm data; and SAFR and Scottish Palms paper collection);</p> <p>(viii) the development, proving and implementation of the processes, procedures and systems required to deliver the IDENT1 Services, including education and support arrangements between the Contractor and individual Police Forces;</p> <p>(ix) staff to be transferred</p>		

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<p>from the Incumbent Supplier, as appropriate;</p> <p>(x) staff to be recruited and/or transferred from other parts of the Contractor's organisation as appropriate;</p> <p>(xi) premises requirements to include site surveys and Memoranda of Understanding;</p> <p>(xii) activities to ensure subcontracts are in place by TOR for England and Wales and by TOR SAFR for Scotland;</p> <p>(xiii) activities to ensure that Third Party Contracts are in place by TOR for England and Wales and by TOR SAFR for Scotland as specified in Schedule S (Software, IPR and Third Party Contracts) by TOR for England and Wales and Scotland;</p> <p>(xiv) Transition of the Services as specified where relevant in Schedule G (Transition);</p> <p>(xv) CWIP;</p> <p>(xvi) resources to be provided by each Party, including</p>		

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<p>required from the Authority; and</p> <p>(xvii) how dependencies will be managed during Transition;</p> <p>() all Transition Criteria for each Transition stage, including as a minimum:</p> <p>(i) Lifecycle Objectives Review, if applicable;</p> <p>(xviii) Lifecycle Architecture Review, if applicable;</p> <p>(xix) Operational Readiness Review;</p> <p>(xx) an ITED release; and</p> <p>(xxi) detailed stage project plans from the Integrated Master Schedule (IMS);</p> <p>() the schedule of meetings to report on plans and progress; and</p> <p>() any further detail or information as may be required by either Party from time to time to enable good project management and control and to enable the Contractor to demonstrate to the Authority that the implementation of Transition is on time and under control.</p>		
Development				
32.	Software Development	The Software Development Plan details all aspects of the	60 days after Effective Date.	Q6.1

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
	Plan(s)	<p>IDENT1 software development process, incorporating aspects of the Contractor's standard methodologies, the RUP, PRINCE2 and User Centred Design.</p> <p>Details timelines and interdependencies of development tasks, addresses roles of Contractor, Authority (and users).</p> <p>This equates to the Software Development Plan as defined by RUP</p>	Updated as necessary.	
33.	Requirements Management Plan	<p>The Requirements Management Plan will specify the information and control mechanisms that will be collected and used for measuring, reporting and controlling changes, to the requirements.</p> <p>This equates to the Requirements Management Plan as defined by RUP</p>	60 days after Effective Date and updated throughout the life of the IDENT1 Service	Q1.1
34.	Configuration Management Plan	<p>Defines the Contractors software configuration management approach. The document shall detail all aspects of the software configuration process, including:</p> <ul style="list-style-type: none"> • Configuration Identification; • Configuration Control; • Configuration Status Accounting; • Configuration Authentication. 	60 days after Effective Date and updated throughout the life of the IDENT1 Service with Authority approval.	Q1.7 And Q5.1 And Q7
35.	Glossary in Schedule D (Detailed Operational Requirements)	The Authority and the Contractor are both responsible for ensuring that the glossary is	TOR NAFIS. Updates shall be made throughout	D

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<p>kept up to date and that all new documentation including updates is consistent with the current version of the Glossary.</p> <p>The master copy of this document shall be held by Authority and changes are made by agreement between the Authority and the Contractor.</p>	the life of the IDENT1 Service with Authority approval.	
36.	Business Process Models	<p>Business Process Models shall be provided demonstrating current processes identifying existing problems and new processes designed to solve these problems.</p> <p>Models shall be provided in a format that can be exported to a commercially available business process tool.</p>	Key business process models provided by SAR1 for SISP project. More detailed models provided by SAR3 for SISP project.	Q6.1
37.	Use Case Model	<p>The Use Case Model is a model of the system's intended functions and it's environment, and is used as an essential input to analysis, design and test.</p> <p>The use case model will include:</p> <ul style="list-style-type: none"> • Use Case packages <ul style="list-style-type: none"> ○ Defining the structure of the model using UML models and textual specifications • Use Cases <ul style="list-style-type: none"> ○ Containing UML models and textual Use Case specifications • Actors <ul style="list-style-type: none"> ○ Defining a set of roles which interact with the system 	A draft version will have been provided for review in preparation for a SAR1 and SAR2. Final version provided for a SAR3.	Q6.1

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		UML models shall be provided in a format exportable to Rational Rose. Use Case specifications shall be exportable to DOORS.		
38.	Use Case Model Survey	A full report on the Use Case Model. This report equates to the Use Case Model Survey as defined by RUP.	Draft version due in preparation for SAR1. Baseline version due in preparation for SAR2. Updated as and when major changes occur.	Q6.1
39.	Supplementary Requirement Specification	The Supplementary Requirements Specification further defines the system requirements through the iterative Use Case development process. The Supplementary Requirements Specification equates to the Supplementary Specification in RUP. The Supplementary Requirements shall be provided in a format exportable to DOORS	A version will be provided for review in preparation for a SAR1, SAR2 and SAR3.	Q1.3 and Q1.7
40.	Requirements Traceability	Traceability shall be maintained within the development environment to enable reports to be produced as necessary. Requirements Traceability shall include: <ul style="list-style-type: none"> traceability of system requirements to use cases and non-functional requirements. traceability of test cases to use cases 	Initial traceability set up by SAR1. The relevant project portion due at each SAR for that project. The latest version of the Requirements Database available to the Authority on request.	Q1.3 and Q1.7

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
41.	COTS Product Evaluations	This document shall detail formal justification for the selection of a COTS product and will include <ul style="list-style-type: none"> • Cost of ownership • Maintainability • Obsolescence management concerns 	Prior to the selection of a COTS product for integration into the IDENT1 solution	Q6.1
42.	COTS Products Register	This document shall contain, for each COTS software product that is required, incorporated and/or included as part of the delivery of the Services: Name, Version Number, Ratings, Certifications, Industry Standards, etc. achieved and any modifications.	As required	Q6.1
43.	Systems Architecture Model	A comprehensive System Architecture Model, detailing the major components of the IDENT1s system. <ul style="list-style-type: none"> • Documents views of the IDENT1 system architecture satisfying various viewpoints (including as a minimum:- logical, implementation, distribution, data, Physical, size and performance, and security viewpoints). • Records any known inconsistency between views. • Provides rationale for architectural decisions. <p>Must be supplied in form of Rational Rose model, in addition to any textual descriptions.</p>	Draft version due at SAR 2. Updated version due at SAR 3, and then regularly updated in line with significant changes to the System Architecture.	Q6.1
44.	Conceptual and Logical Data	This shall be a conceptual model and a logical model of the data	Initial model at SAR2 for SISF	Q6.1

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
	Models	managed in the IDENT1 system, demonstrating alignment with CorDM. Also forms part of System Architecture Model.	Project. Updated as required for SAR 2 and 3.	
45.	Physical Data Model	This shall be a physical model(s) of the data managed in the IDENT1 system,	Model provided at FOC. Updates as required.	Q6.1
46.	External ICD(s)	Defines external interfaces between the IDENT1 system and other systems, encompassing:- <ul style="list-style-type: none"> Physical view; Logical or Transaction view; Functional view; Performance view. <p>This is to include Avon & Somerset and Kent system ICDs, plus any relevant legacy NAFIS ICDs (e.g. PNC) that need an IDENT1 format.</p>	Initial draft at TOR-NAFIS + 30 days for existing interfaces. Draft version for new external interfaces at relevant SAR 3 and “as built” version at SAR 6.	Q6.1
47.	Livescan Interface Specification	Defines the interface between the Livescan sub-systems and IDENT1. Specifically defines elements of UK version of the ANSI/NIST standard for exchange of fingerprint images.	TOR-NAFIS + 30 days and then updated in line with changes to the Livescan interface.	
48.	Usability Analysis	Reports of usability analysis covering the method, results and derived usability requirements. Includes: Task Analysis User Analysis Environmental Analysis	As Required	Q6.2
Security				
49.	Part 1 Basic Information	Following the principles of HMG IS2, this should cover	At TOR-NAFIS, thereafter annually	K4

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		purpose, accreditation scope, user groups.	or after a major system change.	
50.	Part 2 Risk Assessment and Management	Following the principles of HMG IS2, this should include a full risk assessment using HMG IS1 and another comprehensive risk assessment tool e.g. CRAMM.	At TOR-NAFIS, thereafter annually or after a major system change.	K4
51.	Part 3 Security Operating Procedures	Following the principles of HMG IS2, this should include SyOps for all users or groups of users of the system.	At TOR-NAFIS, thereafter annually or after a major system change.	K4
52.	ISO17799 Statement of Applicability	Shows the Contractors conformance to the standard within the confines of the system, will make up part of the ADS in order to comply with the CJX CoCo v2.	At TOR-NAFIS, thereafter annually or after a major system change.	K4
53.	3 rd Party IT Health Check Report	Will detail the scope and methodology used by the CHECK provider and the results of the test	At TOR-NAFIS, thereafter annually or after a significant system change.	K4
54.	Semi-annual Health Check Report	Will detail the scope and methodology used by the CHECK provider and the results of the test	Six months after TOR-NAFIS and annually thereafter	K4
55.	Security Risk Assessment	This should be conducted using HMG IS1 as a baseline and other risk analysis tools as appropriate e.g. CRAMM.	At TOR-NAFIS, thereafter annually or after a major system change.	K4
56.	Security Management Plan	Detail how the Contractor is adhering to its Information Security Management System as laid down in ISO17799.	35 calendar days after signing contract. Updated whenever significant changes occur with Authority approval.	K4
57.	Impact Analysis	Conducted by the Contractor after a known security breach.	As appropriate, but delivered to the Authority within 48 hours of the breach.	Q9
Service Management				
58.	Operations and	Comprehensive plan for the	35 calendar days	Q2.2.2

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
	Maintenance Support Plan	<p>operations and maintenance support of the IDENT1 Service.</p> <p>The document shall include details of, but not limited to:</p> <ul style="list-style-type: none"> • Overview of Service Management and Support services • Structure, operating procedures, tool selection/usage, location and continuity arrangements for the Service Desk • Detailed process descriptions including procedures, guidelines, support tools, roles and responsibilities for ITIL Service Support activities: <ul style="list-style-type: none"> ○ Incident Management ○ Problem Management ○ Configuration Management ○ Operational Service Change Management ○ Release Management • Detailed process descriptions including procedures, guidelines, support tools, roles and responsibilities for ITIL Service Delivery activities: <ul style="list-style-type: none"> ○ Service Level Management ○ Availability Management ○ Capacity Management ○ Service 	prior to TOR NAFIS, updated as needed but as a minimum annually.	

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		Continuity Management <ul style="list-style-type: none"> • Operation of maintenance and service support structure including <ul style="list-style-type: none"> ○ Location and operating procedures of support units ○ Proposed inventories of spares for the IDENT1 ○ equipment ○ High value or limited availability consumables. 		
59.	Incident & Problem Analysis & Review	Analysis of workload of Incidents, including spotting trends and any recommendations and actions arising from analysis including the results of proactive Problem Management process (ITIL)	1 year after TOR NAFIS, and annually there after or at any intermediate review	Q2.2
60.	Service Level Report (SLR)	Service Level Report, detailing general reporting on service levels, service levels and scoring for Service Level Metrics, Service Categories and Overall Service, as described in Schedule F (Service Level Requirements)	1 Month after TOR NAFIS and Monthly there after.	Schedule F (Service Level Requirements)
61.	BS 15000 Audit Report	Audit reports of the ITIL Service Management as part of the ongoing BS15000 accreditation	Within 15 days of audit	Q2.2
62.	Interface SLAs	Service or Operational Level Agreement(s) relating to any system or service interface to the IDENT1 Service (eg PIFE, PNC, PSNI, Custody)	At appropriate development point and any change point for each Interface	Q2.2.1
63.	Availability Plan	Plan detailing the outcomes of the Availability design and ongoing management. The report shall include:	At TOR NAFIS and at least annually there after or at any	Q2.1.1

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<ul style="list-style-type: none"> process Availability and recovery design criteria for each service details of the Availability techniques deployed to provide additional Infrastructure resilience to prevent or minimise the impact of component failure to the Service targets of availability, reliability and maintainability for the IT Infrastructure components that underpin the Service(s) Reporting and analysis of Availability, reliability and maintainability including predictive performance Recommendation and actions to maintain or improve the Availability of the Service 	appropriate development points	
64.	Capacity Plan	<p>Plan detailing the outcomes of Capacity Management Process. The report shall include:</p> <ul style="list-style-type: none"> Problems being experienced or envisaged due to over or under Capacity the degree to which service levels are being achieved or exceeded what has changed that has a impact on capacity since the last issue of this plan. Any known changes that will happen that will impact future capacity Summary of service 	1 Month prior to TOR NAFIS and at 6 month intervals there after	Q8

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
		<p>usage against demand forecasts/ Contract targets.</p> <ul style="list-style-type: none"> • Analysis of trends and existing predictions for future demand forecasts. • Summary of current and recent Resource usage across the system • Analysis of actual resource usage against predicted. • Prediction of future Capacity needs supported by Performance modelling as appropriate. • Identification of additional Resources and their deployment programme. • Any additional recommendation or actions 		
65.	Business Continuity Plan	<p>Documents the plan for continuity of business operations for the IDENT1 Service at local and national level, including:</p> <ul style="list-style-type: none"> • Threat analysis including business impact analysis and risk assessment • Identification of significant Disaster / Business Continuity scenarios • Options and counter measures • Specific Continuity Procedures and recovery plans for identified Disaster/ Continuity Scenarios 	1 month prior to TOR NAFIS, and annually thereafter	Q2.1.2
66.	Business Continuity Test Report	Report on the testing of the Business Continuity Procedures	Within 15 days of each testing event.	Q2.1.2

Document Set and ID	Document Name	Description of Document	Delivery Milestone and/or Frequency (all in calendar days)	Cross – Reference to Schedule Q or other Schedules (where relevant)
67.	Performance Risk Assessment	As discussed in the Performance Assurance section of Schedule D (Detailed Operational Requirements).	Revised version aligned with each SAR2, and any PARs, with a performance dimension.	Q2.2.4
68.	Performance Models	Static and dynamic simulation performance and sizing models.	Annually and at each project milestone.	Q2.2.4
69.	Performance Modelling Report(s)	Result from Performance Modelling as described in Section 8.4 of Schedule D (Detailed Operational Requirements) Non Functional	At appropriate development point identified in Capacity Management and Performance Assurance Strategy	Q2.2.4
70.	HCI Style Guide	Details of the Design Guidelines and Standards to be used for the IDENT1 Services. Includes: Design principles and rules derived from these principles; Identification of relevant Standards and how they will be implemented.	Working copy available to the Authority to support all UIEs (as set out in the IMS) with final version delivered under IDENT1 System HCI Milestone.	Q6.2