

## **SCHEDULE H**

### **ACCEPTANCE PROCEDURES**

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## 1 INTRODUCTION

- 1.1 The purpose of this Schedule is to describe the extent and scope of work to be undertaken by the Contractor in relation to Acceptance Testing of the Transition Milestones identified in Schedule G (**Transition**), and to set out the Parties' agreement in adopting a generic approach for Acceptance Testing of the Services at TOR, from TOR to FOC, at FOC, and from FOC to the end of the Term.
- 1.2 This Schedule defines the procedures which allow for effective Acceptance of the Service, such that the Authority can be satisfied that Transition as set out in Schedule G (**Transition**) is complete, that the Services are capable of meeting the Service Levels as set out in Schedule F (**Service Level Requirements**), that the Services provide the functionality and other attributes as set out in Schedule D (**Detailed Operational Requirements**) and that all other work is performed in accordance with Schedule Q (**Contractor's Solution**).
- 1.3 The aim of Acceptance Testing is for the Contractor to demonstrate to the Authority that the Services:
- 1.3.1 are available;
  - 1.3.2 are capable of operating; and
  - 1.3.3 actually operate and are likely to continue to operate, in accordance with the Requirements of the Contract.
- 1.4 Although one of the main aims of this Schedule is to enable the Contractor to progress to and achieve FOC for the Services, through the Acceptance of the Transition Milestones in accordance with Annex H-1 of this Schedule, the principles set out hereunder shall apply to Acceptance Testing of all New Services developed and delivered after FOC and any changes introduced through Schedule L (**Change Control Procedures**) where the Parties agree that this Schedule is to apply to the relevant change being introduced through Schedule L (**Change Control Procedures**).
- 1.5 An incremental approach to Acceptance Testing has been adopted as described in Clauses 2 and 3 below which contains six standard Incremental Acceptance Reviews ("**IAR**") one or more of which shall be required for Acceptance Testing of particular Transition Milestones. Each IAR carried out will generally take the form of one or more Standard Acceptance Reviews ("**SAR**") and will be preceded by defined events for Acceptance Testing ("**Events**"), the outcomes of which will be presented at the IAR. The process is further described in Clause 3 below. Such Events may include specified testing activities to satisfy the Authority that the functionality, specification and operational stability of the Services meet the Requirements of the Contract. The Authority does not wish to be prescriptive in determining what the testing activities might be, however, they could include such activities as Factory Acceptance Tests (FATs) or Acceptance Testing where appropriate. A Progressive Acceptance Review ("**PAR**") may be used in certain circumstances for specific purposes when the generic Acceptance Testing approach is inappropriate.
- 1.6 The Services accepted at the passing of the FOC Transition Milestone shall constitute the FOC baseline for the Services ("**IDENT1 Baseline Service**") upon which future Services shall build. Each time a new Service which constitutes an amendment to Schedule D (**Detailed Operational Requirements**) becomes operational, it shall be added to the existing IDENT1 Baseline Service and upgrades thereof to create a new IDENT1 Baseline Service. Each revision of the IDENT1 Baseline Service shall be ascribed a new version number in order to provide a full audit trail of changes.

- 1.7 Upon the successful completion of each IAR prior to FOC in accordance with Clause 5.5 of this Schedule, the Contractor shall issue an appropriate Certificate of Acceptance or confirmation letter to the Authority for signature by both Parties. The date of signature by both Parties of the Certificate of IDENTITY Services Acceptance at FOC as described in Clause 5.6 shall be the formal start date in relation to the Services to be provided by the Contractor under this Contract.
- 1.8 Acceptance testing of future Services shall be undertaken in accordance with the same principles as are set out in this Schedule for the Acceptance of the Transition Milestones. Prior to placing a CCN (in accordance with Schedule L (**Change Control Procedure**)) for an additional new Service, the Authority and Contractor shall discuss and agree the process for Acceptance Testing of the New Services, including which IARs shall apply to agreed Milestones for the relevant service. Subject to the Authority's approval of acceptance for such New Services, a Certificate of Acceptance for a New Service may be issued where appropriate and relevant as agreed between the Parties.
- 1.9 Acceptance of any Milestone shall enable the Contractor to progress to succeeding Milestones or claim payment, as applicable under Schedule E (**Pricing**). However, Acceptance (or waiver of any Defect or Failure at Acceptance) of any Milestone, New Services or any changes introduced in accordance with Schedule L (**Change Control Procedure**) pursuant to this Schedule (including circumstances where an Acceptance Certificate has been issued) shall not relieve the Contractor of its obligation to meet the requirements of Schedule D (**Detailed Operational Requirements**) and shall be without prejudice to the rights and remedies available to the Authority under the Contract.
- 1.10 In accordance with Clause 5.9.2, the Authority reserves the right (at its sole discretion) either to waive or defer any Defect or Failure resolution at any Milestone, or to allow an agreed period for the Defect or Failure resolution prior to re-submitting a Milestone for Acceptance Testing. If, after the Authority has extended the Acceptance Testing Period, the Acceptance Testing Procedures have not been recorded as successful by the end of that period, the Authority shall have the right to terminate for the Contractor's default in accordance with Clause 43 of Schedule B (**Conditions of Contract**).

## 2 PRINCIPLES

### 2.1 Incremental Acceptance

- 2.1.1 The Parties shall apply the Generic Acceptance Approach as described in Clause 3 of this Schedule to all development work leading to FOC and also apply it to future New Services. This approach shall align with the RUP model and shall use an incremental approach to achieving Acceptance.
- 2.1.2 The Contractor shall use the Incremental Acceptance approach to:
- (a) balance the workload associated with Acceptance activities across time;
  - (b) provide assurance that capabilities meet the specified Requirements;
  - (c) provides evidence towards achieving the milestones identified in Schedule G (**Transition**);
  - (d) bring into operational service new capabilities with consequent operational benefits as early as practicable;

- (e) enable Pilot or Proof of Concept of new capabilities to support user centred design and the early assessment of operational and business benefits; and
  - (f) identify and resolve Defects against specification and other potential problems as operational and business benefits as early as possible;
- 2.1.3 The Parties shall conduct Incremental Acceptance Reviews (“IAR”) and preceding Acceptance Events, as described in Clause 3 of this Schedule.
- 2.1.4 Notwithstanding any Acceptance by the Authority of a satisfactory delivery of any Services or New Service, the Authority retains the right to invoke the remedies set out in Clause 5 in the event that such Services or New Services are subsequently shown to be failing to meet the Requirement(s) of the Contract.

## 2.2 Requirements

- 2.2.1 For the purposes of this Schedule, the term “Requirement” shall refer to and include, but not be limited to, the DOR and Requirements derived from the DOR, most notably those derived from the Use Cases during the development process. In addition, this shall include the statements made by the Contractor in Schedule Q (**Contractor’s Solution**).

### 2.2.2 Verification and Validation of Requirements

The Contractor shall provide evidence by means of IARs, to the satisfaction of the Authority and through the procedures set out in this Schedule, that each of the Requirements of Schedule D (**Detailed Operational Requirements**), of Schedule F (**Service Level Requirements**), of the Requirements derived from the Requirements of Schedule D (**Detailed Operational Requirements**) during the development process are performed and delivered under this Contract. The evidence so provided shall be produced by the Contractor through processes of Verification and of Validation, where:

- (a) the “Verification of Requirements” shall mean the process whereby the appropriateness of each Requirement with respect of the corresponding business and operational need is established; and
- (b) the “Validation of Requirements” shall mean the process whereby the delivery into operational service of the capability meeting each Requirement is confirmed and corroborated.

### 2.2.3 Continuous Verification and Validation

Notwithstanding formal Acceptance by the Authority, once the Authority accepts that the Requirements have been Verified and Validated and subsequent to the IAR with which that Requirement is associated, the Contractor shall continue to ensure that the Services continue to meet each Requirement and shall take remedial action at the Contractor’s expense should any Defect or Failure against the Requirements be determined, as set out in Clause 5 of this Schedule. Unless otherwise indicated by the Authority, all Requirements shall apply for the duration of the Contract. For the avoidance of doubt, acceptance by the Authority that the Requirements have been verified and validated shall not remove the Authority’s right to re-address any issues raised in relation to the Requirements and request Reverification and Revalidation if, in the Authority’s opinion it is necessary or appropriate.

## 2.3 Transition Acceptance

Annex H-1 of this Schedule describes how the Generic Acceptance Approach described in Clause 3 of this Schedule applies to the specific Transition milestones identified in Schedule G (**Transition**).

### 2.3.1 TOR – NAFIS

Notwithstanding the items described in Annex H-1 of this Schedule, the goal of achieving the full delivery of Transfer of Responsibility for the existing NAFIS service is represented by the TOR–NAFIS milestone, as described in Schedule G (**Transition**). The achievement of TOR–NAFIS shall be determined by the OAV which includes, but is not limited to:

- (a) a written statement by the Contractor to the Authority no later than 30 days prior to TOR-NAFIS fully evidencing, to the reasonable satisfaction of the Authority, its complete readiness, preparedness and ability to take full operational responsibility for continuity of the existing operational NAFIS Service;
- (b) the continuity of existing services currently provided by the NAFIS systems and associated NAFIS Livescan technology;
- (c) the delivery of capabilities compliant with each aspect of the NAFIS Service Level Requirements; and
- (d) the completion of all activities and Deliverables relating to Transfer of Responsibility as set out in Schedule G (**Transition**).

### 2.3.2 Scottish Livescan

Notwithstanding the items described in Annex H-1 of this Schedule, the goal of achieving full delivery, testing and installation of new or takeover of existing Livescan in Scotland is represented by the Scottish Livescan Milestone, as described in Schedule G (**Transition**). The achievement of Scottish Livescan shall be determined by the OAV which includes, but is not limited to:

- (a) a written statement by the Contractor to the Authority no later than 30 days prior to the delivery date for Scottish Livescan as set out in Schedule G (**Transition**) fully evidencing, to the reasonable satisfaction of the Authority, its complete readiness, preparedness and ability to take full operational responsibility for provision of the Scottish Livescan Service;
- (b) completion of device approval and testing of IDENT1 Scottish Livescan units; and
- (c) confirmation of successful takeover of all existing Livescan units by each Scottish Force, with the remainder of the new IDENT1 Livescan units to be installed no later than 30 April 2005.

### 2.3.3 TOR – SAFR

Notwithstanding the items described in Annex H-1 of this Schedule, the goal of achieving the full delivery of Transfer of Responsibility for the existing SAFR service is represented by the TOR–SAFR milestone, as described in Schedule G

(**Transition**). The achievement of TOR–SAFR shall be determined by the OAV which includes, but is not limited to:

- (a) a written statement by the Contractor to the Authority no later than 30 days prior to TOR-SAFR fully evidencing, to the reasonable satisfaction of the Authority, its complete readiness, preparedness and ability to take full operational responsibility for the Services (including Livescan) in Scotland while maintaining Business Continuity;
- (b) the delivery of capabilities compliant with each aspect of the Service Levels as set out in Schedule F (**Service Level Requirements**);
- (c) the completion of all activities and Deliverables relating to Transfer of Responsibility as set out in Schedule G (**Transition**); and
- (d) confirmation of successful installation of all Livescan units by each Scottish Force.

#### 2.3.4 FOC – Baseline Service

Notwithstanding the items described in Annex H-1 of this Schedule, the goal of achieving the full delivery of the Baseline Service is represented by the FOC milestone, as described in Schedule G (**Transition**). The achievement of FOC shall be determined by the OAV which includes, but is not limited to:

- (a) the continuity of existing services currently provided by the NAFIS, SAFR and SLS systems and the full delivery of Schedule D (**Detailed Operational Requirements**);
- (b) the completion of Service Transition as set out in Schedule G (**Transition**);
- (c) the Verification and Validation of the Requirements described in Clause 2.2 of this Schedule (subject to the exception of progressive improvements set out in Clause 3.3.5 and of CJX/PNN Contract Transition, which are scheduled to be delivered post-FOC); and
- (d) any other activities or Deliverables required under the Contract.

#### 2.3.5 Changes to Transition Services

- (a) Changes to this Schedule, as agreed under Schedule L (**Change Control Procedure**), prior to FOC, shall be subject to the Generic Acceptance Approach as described in this Schedule.
- (b) The Contractor may integrate the Acceptance of these changes into previously agreed project plans, subject to the further approval of the Authority.

### 2.4 Acceptance of Changes to the IDENT1 Baseline Service

- 2.4.1 Changes to the IDENT1 Baseline Service, as agreed under Schedule L (**Change Control Procedure**), whether defined prior to or subsequent to FOC, shall be subject to the Generic Acceptance Approach as described in this Schedule.

- 2.4.2 Acceptance Events, Reviews and Acceptance Criteria associated with Changes following the Acceptance of the IDENT1 Baseline Service at FOC shall be mutually agreed by the Parties in advance of any new work commencing.

## 2.5 Transparency

The Contractor's Acceptance Procedures shall provide and allow for sample quality checks and audit trail analysis.

## 2.6 Acceptance of Options

- 2.6.1 All Optional Services ordered under the Contract shall be subject to Generic Acceptance Approach as described in this Schedule.

- 2.6.2 Acceptance Events, Incremental Acceptance Reviews and associated Acceptance Criteria shall be mutually agreed by the Parties prior to ordering the Optional Services. However, Acceptance of Optional Services shall include sufficient Regression Testing to ensure that evidence is available that the deployment of an Optional Service does not compromise the integrity of the IDENT1 Baseline Service.

## 2.7 Oversight of Acceptance

- 2.7.1 The Authority shall have the right to full, free and unfettered oversight of the provision of the Services.

- 2.7.2 The Authority may, with reasonable notice to the Contractor, inspect, examine and audit all aspects of the provision of the Services, including but not limited to information, plans, drawings, notes, correspondence, agreements, work in progress and assets. The Authority may apply its own interpretation of any of this information and use this to determine Acceptance of any component of the Services.

- 2.7.3 The Contractor shall invite the Authority to attend and witness all Acceptance Events. The Authority may, on a case by case basis, waive its right to witness Acceptance Events. Should the Authority waive its right to witness any Acceptance Event, the Contractor's independent QA Authority shall represent the interests of the Authority in respect of the witness of Acceptance Testing activities and the keeping of a true record of the Event. For the avoidance of doubt, in all matters relating to Acceptance of the Services, the Authority's decision shall be final.

# 3 GENERIC ACCEPTANCE APPROACH

## 3.1 Incremental Acceptance Reviews

- 3.1.1 Acceptance of the Services shall be on an incremental basis. Incremental Acceptance shall be measured and controlled by Incremental Acceptance Review ("IAR") points.

- 3.1.2 IARs shall take one of the following two forms; either:

- (a) Standard Acceptance Review ("SAR") – An IAR predominantly relating to Transition Milestones up to Acceptance of the IDENT1 Baseline Service at FOC, or to the development of new capabilities (i.e. changes to the IDENT1 Baseline Service), or both; or
- (b) Progressive Acceptance Review ("PAR") – An IAR predominantly relating to progressive improvements in capability, to system upgrades, to the in-



service management of Security Accreditation, and to transition events defined as being subsequent to the achievement of the IDENT1 Baseline Service at FOC and which augment the IDENT1 Baseline Service.

- 3.1.3 The development of the IDENT1 Services up to FOC, and any future development projects, shall be subject to the SARs set out hereunder.
- 3.1.4 Before each IAR the Contractor shall conduct one or more Acceptance Events. Evidence of successful completion of each Acceptance Event shall be presented by the Contractor to the Authority at the associated IAR.
- 3.1.5 An Acceptance Event is defined in Clause 3.4 below.
- 3.1.6 Evidence of Acceptance Events shall be in the form of an Acceptance Event Report, as described in Clause 3.6.3 hereunder, provided by the Contractor that records the outcome of the Acceptance Event. Such Acceptance Event Reports shall be subject to verification and approval by the Authority.
- 3.1.7 When all the prior constituent Acceptance Events have successfully taken place, the IAR shall be held.
- 3.1.8 An IAR will typically be a day's review meeting between the Authority and the Contractor, held within reasonable proximity of the Authority's premises (including Scotland) at a venue provided by the Contractor, or by audio or video conference, unless otherwise agreed in writing by the Authority. More than one IAR may be held consecutively on the same day or consecutive days, in order to give an economy of scale with respect to attendance by both the Contractor's and the Authority's representatives. An IAR may be also be scheduled consecutively on the same day or days with other project events such as Project Management Review meetings in order to enable an economy of scale with respect to attendance by both the Contractor's and the Authority's representatives.
- 3.1.9 At the IAR the Contractor shall provide evidence from the Acceptance Events required under the relevant Milestone in Annex H-1. The Authority will decide whether to grant acceptance of this IAR by considering the Evidence presented by the Contractor against the Criteria for the IAR.
- 3.1.10 The Acceptance Events that lead up to an IAR shall be defined in the Software Development Plan (SDP) and/or Project Stage Plan as appropriate as described in Schedule O (**Documentation**), and shown in the Integrated Master Schedule, stating when a particular Acceptance Event will take place and the procedure for acceptance for that Event. This shall include the relevant Acceptance Events set out in Annex H-1. Clause 3.5 provides a generic list of Acceptance Methods that may be employed for an Acceptance Event.
- 3.1.11 Each IAR is defined below, including the following description:
  - (a) **Purpose** – the reason for holding the IAR.
  - (b) **Acceptance Criteria** – the criteria which must be met in order for the review to be deemed complete.
  - (c) **Evidence** – the input required for the IAR which provides evidence of the Acceptance Criteria having been met.

### 3.2 Standard Acceptance Reviews

3.2.1 There shall be six Standard Acceptance Review (SAR) points. The Contractor shall apply these SARs across the development lifecycle. These SAR points, in sequential order, are:

- (a) Lifecycle Objective Milestone Review;
- (b) Lifecycle Architecture Milestone Review;
- (c) Design Review;
- (d) Product Verification Review;
- (e) Product Acceptance Review; and
- (f) Operational Acceptance Review.

#### 3.2.2 SAR1: Lifecycle Objective Milestone Review

**Purpose:**

The purpose of the Lifecycle Objective Milestone Review is to certify that the project scope and boundary conditions are fully understood.

**Acceptance Criteria:**

The right sets of Requirements have been captured and there is a shared understanding of these Requirements.

Agreement by the Parties that the Requirements are testable.

The key approaches to be used in test and evaluation have been agreed between the Parties.

The current schedule estimates, priorities, risks, and development process have been agreed.

**Evidence:**

Evidence that management controls, as defined in Schedule Q, Part A (**Contractor's Solution**), have been implemented including a review of Stage Plans.

Results of reviews of Business Process Models.

Results of Requirement Verification activities as stated in the SDP, including as appropriate: Use Case walkthroughs; identification of test method and Acceptance Criteria for each Requirement and; evidence of the completeness of Requirements using traceability analysis.

Evidence of progressive work on development of test documentation.

If applicable, results of one or more proof of concepts and or prototypes to support vision and business case and to address very specific risks.

Evidence that all relevant documentation has been completed and approved as per Schedule O (**Documentation**) to the level of detail required by the Authority as described in Schedule D (**Detailed Operational Requirements**).

### 3.2.3 SAR2: Lifecycle Architecture Milestone Review

#### **Purpose:**

The purpose of the Lifecycle Architecture Review is to certify that the architecture is appropriate and satisfies the Requirements.

#### **Acceptance Criteria:**

Agreement between the Parties that the Requirements and the architecture are stable.

Any major risks elements have been sufficiently mitigated to be able to predictably determine the schedule for the completion of the development.

The Authority agrees that the objectives of the project can be met if the current plans are executed to develop the complete capabilities, in the context of the IDENT1 system architecture.

#### **Evidence:**

Evidence that management controls, as defined in Schedule Q Part A (**Contractor's Solution**), have been implemented including a review of Stage Plans.

Written approval by the Authority of the IDENT1 system architecture.

Results of tests and evaluations (possibly of executable prototypes) which demonstrate that the major risk elements have been addressed and have been credibly resolved.

Evidence that the SDP has sufficient detail to allow development work to proceed.

Written approval by the Authority of the development environment established by the Contractor.

Evidence that the Data Model has been reviewed and all major data model elements have been defined.

Evidence that any changes to Requirements have been reviewed and accepted.

Evidence of progressive work on development of test documentation including Acceptance Testing documentation, as described in Schedule O (**Documentation**).

Evidence that the relevant documentation has been completed and approved as per Schedule O (**Documentation**) to the level of detail required by the Authority as described in Schedule D (**Detailed Operational Requirements**).

Exhibiting, and, where possible and appropriate demonstrating, proposed architecture against some of the primary scenarios.

### 3.2.4 SAR3: Design Review

#### **Purpose:**

The purpose of the Design Review is to certify that the design is appropriate to the right set of Requirements and consistent with the architecture.

**Acceptance Criteria:**

Agreement between the Parties that the design is appropriate to the agreed set of Requirements.

Scope of development and testing is defined.

Agreement between the Parties that the resources necessary to carry out development and testing are available.

**Evidence:**

Evidence that management controls, as defined in Schedule Q Part A (**Contractor's Solution**), have been implemented including a review of Stage Plans.

Written approval by the Authority of the Contractor's detailed Business Process Models.

Written approval by the Authority of the updated Requirements.

Evidence that the Requirements which are to be satisfied by this design have been clearly identified.

Written approval by the Authority of any changes to the IDENT1 system architecture.

Evidence that the test documentation has been updated and identifies the scope of testing for this design.

Confirmation by the Authority that the design has been reviewed and is appropriate.

Evidence that the relevant documentation has been completed and approved as per Schedule O (**Documentation**) to the level of detail required by the Authority as described in Schedule D (**Detailed Operational Requirements**).

3.2.5 **SAR4: Product Verification Review**

**Purpose:**

The purpose of the Product Verification Review is to certify that the product has been manufactured correctly in accordance with the agreed design and can be subjected to formal Acceptance Testing.

**Acceptance Criteria:**

Test scripts have been produced by the Contractor and accepted by the Authority.

Factory Acceptance Testing has been successfully completed.

The product has been built and successfully tested at a system level.

Preparation is complete for Acceptance Testing.

**Evidence:**

Evidence that management controls, as defined in Schedule Q Part A (**Contractor's Solution**), have been implemented including a review of Stage Plans.

Written confirmation by the Authority of the successful completion of system level testing as per appropriate test documentation, including functional, non-functional and integration testing.

Provision of Test Summary Reports for any low level testing carried out by the Contractor prior to each Acceptance Testing Event.

Written approval by the Authority of the proposed test environment for Acceptance Testing.

Evidence of development of user manual.

Evidence of development of training materials.

Evidence of successful usability trials.

Written approval by the Authority that the test documentation is appropriate to Acceptance Testing.

Evidence that Acceptance Criteria have been set as an attribute for each Requirement that will be subject to Acceptance Testing.

Evidence that the relevant documentation has been completed and approved as per Schedule O (**Documentation**) to the level of detail required by the Authority as described in Schedule D (**Detailed Operational Requirements**).

### 3.2.6 SAR5: Product Acceptance Review

#### **Purpose:**

The purpose of the Product Acceptance Review is to certify that product is fit for purpose and is ready to be deployed.

#### **Acceptance Criteria:**

Test scripts produced by the Contractor are accepted by the Authority.

Acceptance Testing successfully completed.

The product release is stable and mature enough to be deployed in the user community.

The Bureau are ready to receive the system.

#### **Evidence:**

Evidence that management controls, as defined in Schedule Q Part A (**Contractor's Solution**), have been implemented including a review of Stage Plans.

Evidence of traceability of Acceptance Test results to Requirements.

Written confirmation by the Authority of the successful completion of Acceptance Testing as per appropriate test documentation, including the successful execution of key scenarios for each of the Use Cases and in accordance with Clause 5 hereunder.

Written confirmation by the Authority of the successful completion of any benchmarking trials.

Evidence of agreement to Memorandum of Understanding for each Bureaux.

Evidence of the development and Authority approval of training plans.

Evidence that the deployment plan has been approved by the Authority and Pilot Bureaux have been identified if required.

Evidence of approval of any updates to end-user Manuals and training materials.

Evidence that the relevant documentation has been completed and approved as per Schedule O (**Documentation**) to the level of detail required by the Authority as described in Schedule D (**Detailed Operational Requirements**).

### 3.2.7 SAR6: Operational Acceptance Review

#### **Purpose:**

The purpose of the Operational Acceptance Review is to certify that the system is fully operational and is satisfying the business needs.

#### **Acceptance Criteria:**

The system has been fully deployed in accordance with the deployment plan.

The system is running successfully in accordance with the Requirements.

#### **Evidence:**

Evidence that the system has been successfully deployed in each Bureaux in accordance with the deployment plan.

Evidence of successfully deployment of fully operational pilots (where required by the deployment plan)

Evidence that the Requirements are continuing to be met in particular all functionality continues to be provided with no degradation in performance.

Evidence that training is being received and is effective in accordance with the Training Plan (Schedule O:23 (**Documentation**)).

Evidence that the relevant documentation has been completed and approved as per Schedule O (**Documentation**) to the level of detail required by the Authority as described in Schedule D (**Detailed Operational Requirements**).

### 3.3 Progressive Acceptance Reviews

PARs shall be used in certain circumstances for specific purposes when SARs are not appropriate as a means of measuring and controlling Incremental Acceptance.

These PARs include, but are not limited to:

### 3.3.1 PAR: Programme Initiation Review (PIR)

**Purpose:**

The purpose of the Programme Initiation Review is to establish the IDENT1 programme on a sound basis, by means of a Contractor briefing to the Authority.

**Acceptance Criteria:**

- (a) PIR presentation event complete
- (b) Issues and risks are discussed and recorded.
- (c) Associated documentation has been delivered in accordance with Schedule O (**Documentation**).

**Evidence:**

PIR minutes have been delivered to the Authority by the Contractor.

### 3.3.2 PAR: Continuity of Service Review

**Purpose:**

The purpose of the Continuity of Service Review is to certify that upon TOR of the existing NAFIS Service still meets its operational and service level Requirements.

**Acceptance Criteria:**

- (a) A written statement by the Contractor to the Authority no later than 30 days prior to TOR-NAFIS fully evidencing, to the reasonable satisfaction of the Authority, its complete readiness, preparedness and ability to take full operational responsibility for continuity of the associated existing Operational Services to be transferred at that Milestone.
- (b) The continuity of existing services currently provided by the NAFIS systems and associated NAFIS Livescan technology.
- (c) The delivery of capabilities compliant with each aspect of the NAFIS Service Level Requirements.
- (d) The completion of all activities and Deliverables relating to Transfer of Responsibility as set out in Schedule G (**Transition**).

**Evidence:**

Confirmation that the operational system has been successfully tested against the NAFIS Requirements.

### 3.3.3 PAR: Periodic Interface Review

**Purpose:**

The purpose of the Periodic Interface Review is to certify that data integrity, synchronisation and reconciliation is maintained between IDENT1 system and peer systems and services, e.g. PNC.

**Acceptance Criteria:**

The infrastructure, messaging, error and exception handling of the interfaces with other systems and services, especially PNC, operate in accordance with the relevant ICDs.

**Evidence:**

Evidence that the relevant communications infrastructure operates in accordance with the relevant ICDs and meets the appropriate security requirements for that connection.

Evidence that messages are conveyed in accordance with the relevant ICDs.

Evidence that data integrity is maintained.

**3.3.4 PAR: BRC Completion Review**

**Purpose:**

The purpose of the BRC Completion Review is to certify that completeness and data integrity of data permanently introduced and converted into the Unified Collection from other sources.

**Acceptance Criteria:**

All records have been ingested, converted and verified.

Use of the records has been operationally validated.

**Evidence:**

Record counts are correct and all records for which are accounted.

Test transactions indicated that the records are available and usable.

**3.3.5 PAR: Progressive Improvement Review**

**Purpose:**

To assure that planned progressive improvements are successfully implemented and deliver the expected additional Services or benefits.

To validate improvements in search accuracy, in accordance with Schedule F (**Service Level Requirement**), at each of:

- (a) FOC
- (b) FOC+1 (one year following FOC); and
- (c) FOC+4 (four years following FOC).



**Acceptance Criteria:**

For each Search Accuracy Benchmark (SAB) (that is, at FOC, FOC+1 and FOC+4) the corresponding Target Accuracy Levels stated in Figure 2.5-4 Search Accuracy Target Values of Schedule F (**Service Level Requirement**) have been met or exceeded.

**Evidence:**

A Search Accuracy Benchmark (SAB) has been conducted for the corresponding Progressive Search Accuracy Improvement Review at each of FOC, FOC+1 and FOC+4, in accordance with Schedule F (**Service Level Requirement**), such that the search accuracy for each search type is demonstrated, within statistical confidence bounds, to meet or exceed the corresponding target range stated in Figure 2.5-4 Search Accuracy Target Values of Schedule F (**Service Level Requirement**).

**3.3.6 PAR: Security Accreditation Review****Purpose:**

Periodically, or as instructed by the National Accrator, and as set out in Schedule K (**Security**), to achieve Accreditation by the National Accrator and to assure that the Security Requirements, as defined in Schedules D (**Detailed Operational Requirements**), K (**Security**), and Q (**Contractor's Solution**) continue to be satisfied.

**Acceptance Criteria:**

The issue of a Certificate of Accreditation by the National Accrator for Police Information Systems and Communication Security.

**Evidence:**

Certificate of Accreditation by the National Accrator.

The Accreditation Documentation Set ("ADS") as set out in Schedules D (**Detailed Operational Requirements**), K (**Security**), and Q (**Contractor's Solution**).

The outcome of a Health Check, as required under Schedules D (**Detailed Operational Requirements**) and K (**Security**).

A supporting action plan to resolve any deficiencies, waivers or deviations with respect to continued Accreditation.

**3.3.7 PAR: PNN/CJX Migration Review****Purpose:**

To ensure that if the incumbency of the PNN Framework Contract changes during the term of the Contract that the Services' use of the CJX services under the PNN Framework Contract is seamlessly migrated to the new CJX supplier.

**Acceptance Criteria:**

Sufficient service continuity planning.

Seamless migration of Services' use of CJX services with full performance, functionality and service continuity.

**Evidence:**

Service continuity plans.

Service monitoring metrics.

**3.3.8 PAR: Business Continuity Review**

**Purpose:**

To assure that the Business Continuity Plan has been implemented as agreed in Schedule Q part A (**Contractor's Solution**)

**Acceptance Criteria:**

Successful dry-run testing of the Business Continuity Plan as defined in Schedule O (**Documentation**).

**Evidence:**

Business Continuity Plan as detailed in Schedule O (**Documentation**).

Dry-run test scripts.

Business monitoring metrics.

**3.4 Acceptance Events**

3.4.1 An Acceptance Event shall be defined as an activity, the successful completion of one or more of which culminates in an IAR. All Acceptance Events shall be carried out in accordance with the procedures set out in Clause 5.2 below. The Contractor shall identify which Acceptance Event(s) it considers should be employed by the Contractor for each IAR. The decision as to which Acceptance Events to be employed for each IAR shall be mutually agreed between the Parties during the planning process leading to Acceptance Testing of the relevant Milestone. For the avoidance of doubt, the Acceptance Events already listed in Annex H-1 of this Schedule shall be included within the relevant IAR in addition to any others agreed during the planning process referred to above.

3.4.2 The following are potential Acceptance Events, although this list is not exhaustive:

- (a) DDR – Deliverable Document Review;
- (b) SRR – System Requirements Review;
- (c) PDR – Preliminary Design Review;
- (d) CDR – Critical Design Review;
- (e) SHC – Security Health Check;
- (f) SAB – Search Accuracy Benchmark;

- (g) PAT – Pilot Acceptance Test;
- (h) PCE – Proof of Concept Evaluation;
- (i) UCT – User Centred Test;
- (j) FAT – Factory Acceptance Test;
- (k) SAT – Site Acceptance Test;
- (l) ICT – Installation Checkout Test;
- (m) ORR – Operational Readiness Review; and
- (n) OAV – Operational Acceptance Validation.

### 3.5 Acceptance Methods

3.5.1 The Contractor shall apply the following list of the potential Acceptance Method(s) that shall be employed for an Acceptance Event:

- (a) Product Reviews;
- (b) Analysis;
- (c) Acceptance Tests;
- (d) Witnessed Installation and Checkout of Equipment; and
- (e) Pilot and Proof of Concept.

3.5.2 The decision as to which Acceptance Methods, and all the component parts thereof, that shall be employed for each Acceptance Event shall be mutually agreed between the Parties during the planning process leading to Acceptance Testing of the relevant Milestone.

3.5.3 The Acceptance Methods shall be in accordance with the IEEE Standard for Software Reviews (IEEE Std 1028-1997), where appropriate.

3.5.4 The Contractor shall identify which Acceptance Method(s) will be employed during each Acceptance Event. The Contractor shall describe these in the Acceptance Documentation, as set out in Clause 3.6.

#### 3.5.5 Product Reviews

The Product Review types that shall be employed as Acceptance Methods shall include:

- (a) Management Reviews;
- (b) Technical Reviews;
- (c) Inspections;
- (d) Walkthroughs; and

- (e) Audits.

### 3.5.6 Analysis

- (a) Analysis shall be employed as an Acceptance Method where mutually agreed between the Parties.
- (b) The Contractor shall supply all mathematical models, algorithms, simulations, engineering drawings, software and hardware specifications, calculations and supporting materials in order to facilitate analysis by the Authority.

### 3.5.7 Acceptance Tests

- (a) The purpose of each Acceptance Test is Validation of a defined set of Requirements by Demonstration.
- (b) The Contractor shall organize and manage each Acceptance Test. The types of Acceptance Tests that may be employed as Acceptance Events shall include a subset of the Acceptance Events described in Clause 3.4 above.
- (c) The substance of each Acceptance Test may be one or more of the following:
  - (i) Functional Tests;
  - (ii) Performance Tests;
  - (iii) Usability Tests;
  - (iv) Search Accuracy Tests; and
  - (v) Security Tests.
- (d) Tests of other attributes of the Service and the Acceptance Criteria shall relate to fitness for purpose and the Acceptance Criteria in Clause 3 above.
- (e) As part of each Acceptance Test, the Contractor shall conduct Regression Tests by exercising an appropriate subset of previous Acceptance Tests with sufficient coverage to ensure that the introduction of New Services and capabilities does not result in Defects against the Requirements for Services and capabilities which have already been accepted.

### 3.5.8 Functional Tests

Functional Tests shall be based upon the Use Cases in Schedule D (**Detailed Operational Requirements**) and the Criteria shall be based upon the Requirements.

### 3.5.9 Performance Tests

Performance Tests shall include START, STRESS and SOAK as defined in Schedule D (**Detailed Operational Requirements**) and the Acceptance Criteria shall relate to Schedule F (**Service Level Requirements**).

### 3.5.10 Usability Tests

Usability Tests shall involve end-user Representatives and the Acceptance Criteria shall relate to quantifiable and demonstrable improvement in the business process.

#### 3.5.11 Search Accuracy Tests

Search Accuracy Tests shall involve end-user Representatives and the Criteria shall be derived from the Requirements set out in Schedule D (**Detailed Operational Requirements**) and from the Criteria used by the Authority in the Search Accuracy Evaluation Benchmarks and shall relate to quantifiable and demonstrable improvement in business benefits.

#### 3.5.12 Security Tests

Security Tests shall include the Health Check as referenced in Schedule D (**Detailed Operational Requirements**) and the Acceptance criteria shall relate to HMG Infosec standards.

#### 3.5.13 Witnessed Installation and Checkout of Equipment

- (a) The Contractor shall provide an Installation Checklist, as set out in Schedule O:8 (**Documentation**), to demonstrate that all necessary equipment has been provided, installed, configured and can be shown to be working. The Contractor shall invite the Authority and, where relevant, IDENT1 end-user Organisations to witness installation and checkout Acceptance Events.
- (b) The Acceptance Criteria shall be the successful completion of the Installation Checklist and subsequent evidence of expected system and service behaviour under controlled conditions.

#### 3.5.14 Pilot and Proof of Concept

The Authority may permit Pilot Services and Proof of Concept Services in the Operational Environment to support user centred design and the early assessment of operational and business benefits.

- (a) "Pilot Services" shall mean the introduction into the Operational Environment of planned new capabilities pending full Verification and Validation.
- (b) "Proof of Concept Services" shall mean the introduction of potential new capabilities of strictly limited scope and of strictly limited duration into the Operational Environment on an experimental basis.
- (c) The deployment of Pilot Services and of Proof of Concept Services shall be at the sole discretion of the Authority and shall satisfy minimum standards including, but not limited to, standards of security and of data integrity, as defined by the Authority on a case by case basis.
- (d) The Acceptance Criteria shall be those developed to evidence operational and business benefit.

#### 3.5.15 System Upgrades

- (a) The Contractor shall conduct regression tests to Verify and Validate upgrades to the Services.

- (b) The scope of upgrade testing and the associated Criteria shall be analogous to those used to Verify and Validate the original service capabilities.

### 3.6 Acceptance Documentation

The Contractor shall develop and deliver to the Authority documentation associated with Acceptance as in accordance with the following provisions:

#### 3.6.1 Test Strategy

The Contractor shall deliver a Test & Acceptance Strategy, as set out in the Programme Initiation Review Documentation in Schedule O (**Documentation**), which shall define the Contractor's general approach to Acceptance of the Service.

#### 3.6.2 Acceptance Event Plan

- (a) The Contractor shall provide an Acceptance Event Plan for each Acceptance Event as part of the Stage Plan at O:18, as set out in Schedule O(**Documentation**).
- (b) At a minimum the Acceptance Event Plan shall include:
  - (i) a description of the Acceptance Event environment;
  - (ii) criteria for Acceptance Event readiness;
  - (iii) a description of Acceptance Event scripts, which the Contractor shall develop from Use Case scenarios and associated functional and non-functional Requirements to ensure complete coverage of the capability or product under test;
  - (iv) a description of the scope of Regression Testing;
  - (v) criteria for successful Acceptance Event completion; and
  - (vi) the Requirements to be verified and/or validated by the Acceptance Event.

#### 3.6.3 Acceptance Event Report

- (a) The Contractor shall provide an Acceptance Event Report for each Acceptance Event, as set out in O:6 of Schedule O (**Documentation**).
- (b) This Report shall be a true record of the Acceptance Event, and at a minimum it shall include:
  - (i) names and roles of participants and attendees;
  - (ii) the status of the Acceptance Event environment;
  - (iii) the achievement of the Acceptance Criteria for Acceptance Event readiness;
  - (iv) the Acceptance Event conduct;
  - (v) the outcome of Regression Testing;

- (vi) the achievement of the Acceptance Criteria for successful Acceptance Event completion;
- (vii) any deviations from the Acceptance Criteria for successful Acceptance Event completion;
- (viii) any Defects and deficiencies in the Services or capabilities undergoing acceptance, and an associated resolution plan; and
- (ix) the Requirements verified and/or validated by the Acceptance Event.

#### 3.6.4 IAR Closure Report

- (a) For each IAR, the Contractor shall produce a Closure Report (“**IAR Closure Report**”) as set out in Schedule O:7 (**Documentation**). This shall apply equally to both types of IAR; whether a SAR or a PAR.
- (b) At a minimum each set of IAR Closure Report shall contain:
  - (i) the name and role of the participants in the IAR;
  - (ii) a description of the Acceptance Events culminating in the IAR;
  - (iii) a statement confirming that the required QA procedures (as detailed in Schedule Q (**Contractor’s Solution**)) have been followed;
  - (iv) the outcome of the Acceptance Event(s) culminating in the IAR;
  - (v) a description of exceptions during the Acceptance Event(s) culminating in the IAR; and
  - (vi) the disposition of any Defects recorded during the Acceptance Event(s) culminating in the IAR.
- (c) Furthermore, each set of IAR Closure Report shall also contain either:
  - (i) a description of any Defects and the completed resolution of each such Defects; or
  - (ii) a description of any Defects and, where agreed with the Authority, a firm commitment by the Contractor to correct such Defects as part of a subsequent IAR; or
  - (iii) a statement of exception, justifying why the Defect(s) does not compromise Acceptance.

#### 3.6.5 Acceptance Event Locations

- (a) The Contractor shall conduct Acceptance Events at one or more of the following locations:
  - (i) Authority Premises;
  - (ii) IDENT1 end-user premises; and

Hendon Data Centre	Northrop Grumman	Northrop Grumman
Peel Estate	Stratford Road	12900 Federal Systems Park Drive
Aerodrome Road	Shirley	Fairfax, VA 22033
Colindale	Solihull	
NWG 5JE	West Mids B904ZS	

- (b) Proposals to use Authority Premises or IDENT1 end-user premises shall be subject to their suitability, to their availability and to the prior written approval of the Authority.
- (c) Proposals to use premises other than Authority Premises, IDENT1 end-user premises or Contractor nominated locations above shall be subject to the Requirements of Schedule K (**Security**) and to the prior written approval of the Authority.

### 3.7 Acceptance Test Environment

Use of the Operational Environment for Acceptance Test activities will not usually be possible or permissible for operational and policy reasons (unless determined by the Authority to be otherwise). Therefore, the Contractor shall provide a Non Operational Acceptance Test Environment which replicates the Operational Environment as far as is practicable. The Non Operational Acceptance Test Environment shall be sufficiently representative of the Operational Environment to give the Authority and end-users the full assurance that the capability undergoing test is of high quality, is fit for purpose, and is fit for deployment into the Operational Environment.

## 4 ACCEPTANCE ROLES AND RESPONSIBILITIES

### 4.1 The Contractor

4.1.1 The Contractor shall be responsible for the provision of:

- (a) The Test Environment – including premises and all supporting equipment.
- (b) Test Engineer(s) – individual(s) who shall exercise the Test Scripts.
- (c) QA Representative(s) - individual(s) who shall record a true account of each Acceptance Event as detailed in Schedule Q (**Contractor's Solution**).
- (d) Test Documentation – which shall include Acceptance Event Plans and Acceptance Event Reports as detailed in Schedule O (**Documentation**), together with any other procedures, scenarios or scripts required by the Authority.
- (e) Test Data.

4.1.2 The Contractor shall make all efforts, on a reasonable endeavours basis, to secure the cooperation of IDENT1 end-user organisations with respect to:

- (a) the agreement of an end-user organisation Memorandum of Understanding for each end-user Organisation.



## 4.2 The Authority

- 4.2.1 As the Authority has the right to observe, witness and participate in Acceptance Events, the Authority shall provide representatives for this purpose on a reasonable endeavours basis.
- 4.2.2 The Authority shall be responsible for the selection and nomination to the Contractor of a reasonable and appropriate number and type of User Representatives to observe FATs, Acceptance Testing and ICTs or to participate in UCTs.
- 4.2.3 The Authority shall make all efforts, on a Commercially Reasonable Efforts basis, to secure the cooperation of IDENT1 end-user organisations with respect to:
  - (a) the agreement of an end-user organisation Memorandum of Understanding as defined in Schedule O (**Documentation**) for each end-user organisation;
  - (b) the provision by end-user organisations Test Data and Training Data; and
  - (c) the provision by end-user organisations of a reasonable and appropriate number of end-user Representatives to observe FATs, Acceptance Testing and ICTs or to participate in UCTs.

## 4.3 Third Party IDENT1 Stakeholders

- 4.3.1 Third party IDENT1 stakeholders include IDENT1 end-user organisations (most of which are individual Police Forces). The Authority shall use its reasonable endeavours to obtain the cooperation of the stakeholders.
- 4.3.2 Each IDENT1 end-user organisation is expected to enter into a Memorandum of Understanding, which shall be a tri-partite agreement between the end-user organisation, the Authority and the Contractor concerning the installation, configuration and checkout of Contractor equipment and the use by the Contractor of IDENT1 end-user organisations facilities, as defined. The template for the end-user organisation Memorandum of Understanding is defined in Schedule O (**Documentation**).
- 4.3.3 IDENT1 end-user organisations are expected to provide, at the request of the Authority, a reasonable and appropriate number of end-user Representatives to observe FATs, Acceptance Testing and ICTs or to participate in UCTs.
- 4.3.4 IDENT1 end-user organisations are expected to lend assistance with the provision of Training Data and Test Data.

## 5 ACCEPTANCE PROCEDURES AND TIME PERIODS

### 5.1 General

- 5.1.1 In all matters relating to Acceptance, the Authority will comply with the terms of this Schedule and the Authority shall be entitled to withhold Acceptance or approval for the Contractor to proceed in the event the Contractor has not met the Acceptance Criteria in accordance with the provisions of this Clause 5. However, in the event that the Authority withholds Acceptance or approval to proceed, then an Exception will be deemed to have occurred.

5.1.2 In the event of such an Exception the Authority shall state the reasons for so doing in writing to the Contractor within 2 working days of the Authority's decision to withhold Acceptance to proceed and shall inform the Contractor which option it wishes to adopt under Clause 5.9.2 below.

5.1.3 In the event of such an Exception, the Contractor shall be liable for consequent costs, delays, re-work and re-testing.

## 5.2 Acceptance Events

The following procedure shall apply to all Acceptance Events.

### 5.2.1 Procedures

- (a) The Contractor shall confirm to the Authority the date and location for each Acceptance Event, together with any needs such as rnd-user support, no later than 60 calendar days prior to the commencement of the first day of that Acceptance Event, unless otherwise agreed in writing by the Authority.
- (b) The Contractor shall deliver to the Authority a draft Test Procedures Specification, as set out in Schedule O (**Documentation**), including Pass/Fail Criteria, for each Acceptance Event, no later than 45 calendar days prior to the commencement of the first day of that Acceptance Event, unless otherwise agreed in writing by the Authority.
- (c) The Authority shall submit consolidated comments on the draft Test Procedures Specification to the Contractor, including any deficiencies in the scope or quality of the Contractor's plans, no later than 30 calendar days prior to the commencement of the first day of that Acceptance Event.
- (d) The Contractor shall take the Authority's comments on the draft Test Procedures Specification into account and the Contractor shall re-submit the Test Procedures Specification for final approval by the Authority, for each Acceptance Event, no later than 15 calendar days prior to the commencement of the first day of that Acceptance Event, unless otherwise agreed in writing by the Authority.
- (e) At the commencement of each Acceptance a Readiness Review will be held, during which the Contractor shall brief the Authority on the state of readiness for the Acceptance Event. The Contractor shall keep minutes of each Readiness Review, as set out in Schedule O (**Documentation**).
- (f) At this Readiness Review the Authority shall assert its view of readiness for the Acceptance Event. In the event that the Authority and the Contractor do not agree that there is a state of readiness for the Acceptance Event, then an Exception will be deemed to have occurred and the Parties shall agree the items that need to be actioned by the Contractor (as applicable) in order to achieve the required state of readiness for the relevant Acceptance Event. In the event of such an Exception, the Contractor shall be liable for consequent costs, delays, re-work and re-testing.
- (g) Upon completion of the Acceptance Event, a Completion Review will be held, in which the Contractor shall brief the Authority on the outcome of the Acceptance Event, which shall be a 'Pass' or 'Fail' according to the pre-

agreed Acceptance Criteria for the Event. The Contractor shall keep minutes of each Completion Review, as set out in Schedule O (**Documentation**).

- (h) The Contractor shall provide an Acceptance Event Report for each Acceptance Event in draft version, as set out in Schedule O (**Documentation**), within 14 working days of the Completion Review.
- (i) The Authority shall submit consolidated comments to the Contractor on the draft Acceptance Event Report for each Acceptance Event, noting any deficiencies in the outcome, within 30 calendar days of receipt.
- (j) The Contractor shall take the Authority's comments on the draft Acceptance Event Report into account and the Contractor shall re-submit the Acceptance Event Report for final approval by the Authority, for each Acceptance Event, within 30 calendar days of receipt, unless otherwise agreed in writing by the Authority.
- (k) The Authority shall, within 30 calendar days of receipt of the Acceptance Event Report in final version, assert its definitive view of the outcome of the Acceptance Event in writing to the Contractor. If, in the view of the Authority, the Acceptance Event has passed Acceptance, then it shall be included in the relevant IAR as part of the assessment as to whether a relevant Milestone has been passed. If the Authority considers that the Acceptance Event has not passed Acceptance, then an Exception will be deemed to have occurred and the Authority shall decide which option it wishes to adopt under Clause 5.9.2 below.
- (l) In the event of such an Exception, the Contractor shall be liable for consequent costs, delays, re-work and re-testing.

#### 5.2.2 Criteria

Successful Acceptance event completion, Verification and Validation of requirements according to the specific criteria developed and set out in the Test Procedures Specification.

### 5.3 Incremental Acceptance Reviews

#### 5.3.1 Procedures

- (a) IARs, whether each is a SAR or a PAR, shall provide the means by which the Verification and Validation of Requirements can be evidenced by the Contractor, and the means by which the Authority can consider such evidence, with a view to Accepting services and capabilities.
- (b) The Contractor shall call each IAR when the corresponding Acceptance Events have successfully completed and have been deemed by the Authority to have passed the pre-agreed Criteria for the relevant Event. The Contractor shall call each IAR provided it gives the Authority with at least 10 working days notice. Each IAR can be conducted as a face-to-face meeting, or a videoconference, an audio conference, as mutually agreed between the Parties.
- (c) The Contractor shall submit an IAR Closure agenda/items (contents to be agreed with the Authority) no less than 5 working days in advance of the first

day of the IAR (typically IARs will have a duration of less than one day if agreed by the Parties).

- (d) At the IAR, the Contractor will conduct a walkthrough presentation of the IAR Closure items above. The IAR shall provide an opportunity for an open discussion between the Authority and the Contractor concerning the IAR Closure Report as a true record of Acceptance Events culminating in the IAR. The Contractor shall keep minutes of each IAR, as set out in Schedule O (**Documentation**).
- (e) No later than 2 working days after each IAR, the Authority shall assert its provisional view of Acceptance as determined by the scope of the IAR. Following the assertion of the Authority's provisional view, the Authority shall be entitled to either accept or reject the IAR. If the Authority rejects the IAR, then an Exception will be deemed to have occurred and the Authority shall decide which option it wishes to adopt under Clause 5.9.2 below.

#### 5.3.2 Criteria

The Acceptance Criteria shall be as set out in Clause 3 of this Schedule for the IAR in question.

### 5.4 Deliverable Documentation

#### 5.4.1 Procedures

- (a) Schedule O (**Documentation**) sets out the Deliverable Documentation under this Contract which shall each be subject to deliverable document review.
- (b) Unless otherwise specified in Schedule O (**Documentation**) Clause 5 of this Schedule, defines the required timing/timescales or periodicity of the delivery of each document relative to IARs, Milestones or other reference points.
- (c) The Contractor shall deliver each Deliverable Document in draft version, as set out in Schedule O (**Documentation**). The Authority shall have the opportunity to provide written comments on each document, including the identification of deficiencies.
- (d) The Authority shall submit consolidated comments to the Contractor on the draft Deliverable Document within 30 calendar days of receipt.
- (e) The Contractor shall take the Authority's comments in the draft Deliverable Document into account and the Contractor shall re-submit within 15 calendar days the Deliverable Document for final approval by the Authority, unless otherwise agreed in writing by the Authority.
- (f) The Authority shall, within 15 calendar days of receipt of the Deliverable Document in final version, assert its definitive view of the fitness for purpose of the Deliverable Document. If, in the view of the Authority, the relevant Deliverable Document, has passed the Acceptance Event then it shall be included in the relevant IAR as part of the assessment as to whether a relevant Milestone has been passed. If the Authority considers that the Documentation has not passed Acceptance, then an Exception will be deemed

to have occurred and the Authority shall decide which option it wishes to adopt under Clause 5.9.2 below.

- (g) In the event that the Authority and the Contractor do not concur that a Deliverable Document is fit for purpose, then an Exception will be deemed to have occurred. In the event of such an exception, the Contractor shall be liable for consequent costs, delays and re-work.

#### 5.4.2 Criteria

The Acceptance Criteria for the Deliverable Documents are set out in this Clause 5.4.2. The Deliverable Documents shall:

- (a) meet the relevant product description in Schedule O (**Documentation**);
- (b) be delivered to the Authority on the dates set out in Schedule O (**Documentation**);
- (c) be clearly written and intelligible, with good spelling and grammar, clear and consistent formatting, convenient indexing and navigation;
- (d) be appropriate to the target readership;
- (e) be available in both hard (printed) and soft (electronic) copy, in formats mutually agreed between the parties;
- (f) bear the correct protective marking under the GPMS in accordance with Schedule K (**Security**); and
- (g) correctly reflect the design and other attributes of the Service to be conveyed.

#### 5.5 Issue of Certificates of IAR Acceptance

- 5.5.1 Upon successful conclusion and acceptance by the Authority (under Clause 5.3.1 above) of the IARs for Transition Milestones in Clauses 2.3.1, 2.3.2 and 2.3.3 above the Contractor shall issue a written "Certificate of IAR Acceptance" to the Authority for signature by both Parties, supported by a written statement signed at Director level that the Contractor's quality assurance procedures as set out in Schedule Q (**Contractor's Solution**) have been followed and that the Acceptance Events have been undertaken in accordance with the Requirements of the Acceptance Procedures set out in Clauses 5.2 and 5.3 above. The Authority shall use its reasonable endeavours to sign and return the relevant and valid Certificate of IAR Acceptance within 15 calendar days of receipt from the Contractor.
- 5.5.2 Acceptance of other Transition Milestones prior to FOC shall be subject to a written IAR confirmation letter that all Acceptance Events required under the relevant Milestone have been satisfactorily completed. The Authority shall use its reasonable endeavours to confirm acceptance of the relevant and valid IAR confirmation letter within 15 calendar days of receipt from the Contractor.
- 5.5.3 Without prejudice to the rights and remedies available to the Authority under the Contract or at Law, in the event that the Authority decides to defer resolution of any Defects or Failures existing at an IAR to a later Milestone, an IAR "fixlist" shall be attached to the relevant Certificate of IAR Acceptance or IAR confirmation letter.

- 5.5.4 Acceptance of the IAR for the Services at FOC shall be subject to Clause 5.9.4 below and a written Certificate of IDENT1 Services Acceptance (as issued in accordance with Clause 5.6 below).

## 5.6 Certificate of IDENT1 Services Acceptance

- 5.6.1 The Certificate of IDENT1 Services Acceptance shall contain, as a minimum:

Statements that, inter alia:

- (a) the Contractor considers that the associated IAR has now been completed in accordance with Annex H-1 of this Schedule.
- (b) the Acceptance Criteria upon which the Contractor has issued the written "Certificate of IDENT1 Services Acceptance" to the Authority, for signature by the Parties is as set out in this Schedule and that it is accepted by the Authority and the Contractor that Acceptance has been fully carried out in accordance with this Schedule and meets, in full, the Requirement for Acceptance as specified in this Schedule.
- (c) therefore, the Contractor confirms that all the specified records in relation to Acceptance Testing are complete and available, for the relevant Acceptance Event or Milestone (as applicable).
- (d) agreement by the Parties that, in signing and dating the Certificate of IDENT1 Services Acceptance, the Contractor has provided, and the Authority has accepted, that the Services, are available from the date of signing the Certificate of IDENT1 Services Acceptance and are fully ready in accordance with Requirements, as described in Clause 2.2 of this Schedule.
- (e) the backstop dates for completion of any remedial work on the IDENT1 Fixlist that may have been agreed.

- 5.6.2 The Authority shall use its reasonable endeavours to sign and return the Certificate of IDENT1 Services Acceptance within 36 calendar days of receipt from the Contractor.

## 5.7 Acceptance by Default

If all of the relevant Acceptance Criteria have been met by the Contractor for the relevant Acceptance Event but the Authority has not issued the Certificate of IDENT1 Services by the end of the prescribed periods of 15 or 36 calendar days respectively in Clause 5.5 and 5.6 above, or the Authority has not notified the Contractor in writing that it is not satisfied that the IAR has been successfully completed (and, if so, giving reasonable justification), then the IAR shall be deemed to have been accepted upon the expiry of such 15 or 36 calendar day period.

## 5.8 [NOT USED]

## 5.9 Acceptance Failure

### 5.9.1 Major and Minor Defects

In determining whether or not Defects are Major or Minor, and/or Failures for Acceptance Events are Material or Non-Material the Parties shall take account of any agreement between the Parties reached in relation to an appropriate course of action

as set out elsewhere in this Schedule. Further, in relation to the definitions set out above, if the Parties disagree as to whether Defects are Major Defects or Minor Defects and/or Failures for Acceptance Event are Material Acceptance Event Failure or Non-Material Acceptance Event Failure with or without a significant adverse effect on the provision or performance of the Services, the Parties shall promptly escalate such issue in accordance with the escalation procedure set out in Clause 5.13 below in order to resolve the relevant issue.

#### 5.9.2 Failure Resolution

- (a) During Acceptance Events and IARs, in the event that any Defects and/or Failures are identified, the Parties shall discuss and agree procedures in respect of remedial action with a view to re-performance of the affected Acceptance Event(s) as set out in Clause (i) and (ii) below and the effect of the results of the Acceptance Event upon the IDENT1 programme.
  - (i) Subject to Clauses 5.9.2(b), 5.9.3 and 5.9.4 below, if an Acceptance Event, or any part thereof, does not pass the relevant Acceptance Criteria set out under the associated IAR, the Contractor shall promptly take appropriate action to remedy the relevant Defect or Failure and/or perform the Acceptance Event (or the relevant part thereof) and, upon completion of the agreed remedial action, at the Contractor's own expense, shall repeat the procedures in the Acceptance Event, to enable the Acceptance Event to pass the relevant Acceptance Testing Criteria set out in Annex H-1 of this Schedule.
  - (ii) Unless otherwise agreed between the Parties, the Contractor shall re-perform the Acceptance Event within 15 (fifteen) working days of the date such Acceptance Event failed to pass the IAR Acceptance Criteria.
- (b) In the event of failure by the Contractor to pass the Acceptance Testing /Acceptance Criteria with respect to IARs prior to FOC requiring only a written confirmation letter, the provisions of this Clause 5.9.2(b) shall apply as follows:
  - (i) if, following no more than two re-performances of the relevant Acceptance Event, the Acceptance Event (or any part thereof) still fails the Acceptance Testing Criteria set out in this Schedule (as applicable), then the Authority shall, at its sole discretion have the right to, and without prejudice to any other rights or remedies available to the Contractor under the Contract:
    - (A) request that the Contractor remedy, replace or perform the Acceptance Event again, as applicable and repeat the evaluation under the Acceptance Testing Criteria; or
    - (B) allow the Contractor to continue to the next Milestone, subject to agreement of a firm remedial plan (to be agreed between the Parties) for the non-conforming Deliverables to be corrected so that it meets the Acceptance Testing Criteria; or

- (C) issue an interim confirmation letter with an IAR fixlist setting out the outstanding actions and agreed timescales for the remedial plan, subject to Clause 5.9.6 below.

#### 5.9.3 TOR:

- (a) In the event of failure by the Contractor to pass the Acceptance Testing /Acceptance
- (b) Criteria with respect to IARs for TOR-NAFIS, Scottish Livescan and TOR-SAFR, the provisions of this Clause 5.9.3 shall apply as follows:
  - (i) if, following no more than two re-performances of the relevant Acceptance Event, the Acceptance Event (or any part thereof) still fails the Acceptance Testing Criteria set out in this Schedule (as applicable), then the Authority shall, at its sole discretion have the right to, and without prejudice to any other rights or remedies available to the Authority under the Contract:
    - (A) request that the Contractor remedy, replace or perform the Acceptance Event again, as applicable and repeat the evaluation under the Acceptance Testing Criteria; or
    - (B) allow the Contractor to continue to the next Milestone, subject to agreement of a firm remedial plan for the non-conforming Deliverables to be agreed between the Parties;
    - (C) issue an interim Certificate of Acceptance ("Interim Acceptance Certificate") with an IAR fixlist setting out the outstanding actions and agreed timescales for the remedial plan, subject to Clause 5.9.6 below.
    - (D) Subject to the expiry of the Liquidated Damages period in Clause 17 of Schedule B (**Conditions of Contract**), reject the relevant Deliverable(s) and terminate the Contract in accordance with Clause 43 of Schedule B (**Conditions of Contract**). For the avoidance of doubt, such termination under this Clause 5.9.3 shall be a termination for a material Default by the Contractor.

#### 5.9.4 FOC:

In the event of failure by the Contractor to pass the Acceptance Testing /Acceptance Criteria with respect to FOC, the provisions of this Clause 5.9.4 shall apply as follows:

- (a) if, following no more than two re-performances of the relevant Acceptance Event, the Acceptance Event (or any part thereof) still fails the Acceptance Testing Criteria set out in this Schedule (as applicable), then the Authority shall, at its sole discretion, have the right to, and without prejudice to any other rights or remedies:
  - (i) request that the Contractor remedy, replace or perform the Acceptance Event again, as applicable and repeat the evaluation under the Acceptance Testing Criteria;



- (ii) require the Contractor to implement fully (within the timescales agreed by the Parties) any solutions to problems identified during the Transition period of IDENT1 development which the Parties agreed to defer until the IAR associated with the FOC Transition Milestone (or beyond), such obligations being collectively known as the "IDENT1 Fix List".
  - (iii) issue an interim Certificate of Services Acceptance ("Interim IDENT1 Acceptance Certificate") with an IDENT1 Fixlist setting out the outstanding actions and agreed timescales for the remedial plan, subject to Clause 5.9.6 below;
  - (iv) subject to the expiry of the Liquidated Damages period in Clause 17 of Schedule B (**Conditions of Contract**), reject the relevant Deliverable(s) and terminate the Contract in accordance with Clause 43 of Schedule B (**Conditions of Contract**). For the avoidance of doubt, such termination under this Clause 5.9.4 shall be a termination for a material Default by the Contractor.
- 5.9.5 The issue of a Certificate of Acceptance or confirmation letter shall not prejudice any claim of the Authority in respect of any Defects or Failures which may subsequently become apparent or be discovered. In addition, the Parties may agree that, if the cause for a particular occurrence is clear and the Contractor has done whatever is necessary to ensure that such cause does not recur, then the required Acceptance Criteria have been achieved.
- 5.9.6 The Authority may issue a relevant Certificate of Acceptance or IAR confirmation letter with resolution of some or all outstanding Defects or Failures attached as a lien against future IARs or Acceptance Events. For instance, Minor Defects might be more efficiently corrected and retested in a future delivery rather than retesting and delaying the current milestone. If the Defects are not resolved, as agreed, by the time of the future Milestone, then the Certificate of Acceptance for the future Milestone might be withheld until they are resolved.
- 5.9.7 The Authority reserves the right not to issue a relevant Certificate of Acceptance or IAR confirmation letter until some or all of the Major Defects and/or Material Acceptance Event Failure are resolved. Successful resolution of both Major and Minor Defects shall be agreed upon based on inspection, successful rerunning a subset of the Acceptance Event, or successful rerunning the complete set of Acceptance Events. For the avoidance of doubt, in the event of any Defect or Failure, the Contractor shall be liable for all costs and delays, and the Authority shall be entitled, unless otherwise agreed, to hold the Contractor to the original dates of the subsequent Milestones.
- 5.9.8 For the avoidance of doubt, the Authority reserves the right to request all Defects/Failures to be resolved by the date for the FOC Milestone.
- 5.10 Delay
- In respect of any delay in the achievement of the IDENT1 FOC Milestone by the TOR and/or FOC dates (as applicable) which is due to the Default of the Contractor the Authority shall be entitled to claim against the Contractor in accordance with Condition 17 of Schedule B (**Conditions of Contract**).

## 5.11 FOC Default

If the Services have not been accepted by the end of all extensions to the SAR6 IAR associated with the FOC Transition Milestone provided in this Schedule, the Contractor shall (except to the extent due to a Default of the Authority) be in Default under this Contract and the Authority shall have the right to terminate this Contract in accordance with Condition 43 of Schedule B (**Conditions of Contract**).

## 5.12 Failure to Remedy

In the event that any elements of the IDENT1 fixlist have not been remedied by the backstop date(s) agreed following Acceptance of Services at FOC, the Authority shall be entitled to seek a commensurate permanent reduction to the Services Charges.

## 5.13 Dispute Resolution

In the event of any dispute or disagreement in relation to any aspect of Acceptance, the Parties shall immediately escalate such issue in accordance with the agreed escalation procedures set out in Schedule P (**Dispute Resolution Procedures**).

## ANNEX H-1

## ACCEPTANCE AND TRANSITION MILESTONES

The tables below show the Transition Milestones, as identified in Schedule G (**Transition**), and the IARs that will have been successfully completed in order to achieve the milestone.

The IARs for a given Transition Milestone relate to those elements of the Services to be operationally deployed at that milestone.

For each IAR within a given Transition Milestone, currently identified Acceptance Event(s) are listed. The Acceptance Events identified are not comprehensive (for example, PARs which do not relate to a specific Transition Milestone in Schedule G (**Transition**) are not listed) and will be subject to agreement between the Contractor and the Authority during the preceding stage of the project. However, as a minimum, they will include the Acceptance Events detailed below.

The Use Cases and other Requirements listed for each Transition Milestone indicates the scope to be covered by the associated IAR(s).

Transition Milestone	Programme Initiation		
IARs	Acceptance Events	Milestone Transition Checklist	
<p>PAR – Programme Initiation Review</p> <p><i>This review covers the Contractor’s approach to:</i></p> <ul style="list-style-type: none"><li>• <i>Management Methods</i></li><li>• <i>Service Delivery</i></li><li>• <i>Requirements Management</i></li><li>• <i>Development</i></li><li>• <i>Test &amp; Acceptance</i></li></ul>	<ul style="list-style-type: none"><li>• Programme Initiation Review presentation event complete</li></ul>	<ul style="list-style-type: none"><li>• Issues and risks are discussed and recorded</li><li>• PIR minutes have been delivered</li><li>• Documentation has been delivered in accordance with Schedule O (<b>Documentation</b>).</li><li>• Scope of development projects agreed.</li><li>• Quality Management System established.</li></ul>	
Applicable Use Cases/Requirements			
Not Applicable.			

Transition Milestone	TOR-NAFIS		
IARs	Acceptance Events	Milestone Transition Checklist	
•	•	•	
PAR – Continuity of Service Review <i>This review covers TOR-NAFIS and SARs 1,, 2,</i>	<ul style="list-style-type: none"> <li>• Validation by means of an OAV</li> </ul>		

3, 4, 5 and 6 do not apply.	of the criteria set out in section 2.3.1 above	
<b>Applicable Use Cases/Requirements</b>		
NAFIS requirements as of start of TOR-NAFIS and all Use Cases to set the scope.		

Transition Milestone	Scottish Livescan	
IARs	Acceptance Events	Milestone Transition Checklist
SAR3 – Outline Design Review <i>This review covers Scottish Livescan.</i>	<ul style="list-style-type: none"> <li>System design review.</li> <li>Updated Data Model reviewed if applicable.</li> <li>Identify and review requirement set.</li> <li>Detailed Business Process Model and task analysis agreed.</li> <li>Updated Development plans reviewed if applicable.</li> <li>Performance Model Reviewed if applicable.</li> </ul>	<ul style="list-style-type: none"> <li>ICD approved (Livescan to SAFR).</li> <li>Scope of testing agreed.</li> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> <li>Scottish Livescan as detailed in Schedule H (<b>Acceptance Procedures</b>), section 2.3.2.</li> <li>Ability to capture Palm images.</li> </ul>
SAR4 – Product Verification Review <i>This review covers Scottish Livescan.</i>	<ul style="list-style-type: none"> <li>Testing of ability to search print sets against the ten-print and unidentified mark collections of SAFR.</li> </ul>	<ul style="list-style-type: none"> <li>Acceptance test environment established.</li> <li>Validation of user manuals and training materials.</li> <li>Training Plan agreed.</li> <li>Approval of acceptance tests documentation.</li> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> <li>Traceability of global functional</li> </ul>

		<p>and non-functional requirements to Test Cases.</p> <ul style="list-style-type: none"> <li>Traceability of Use Cases to derived requirements to Test Cases.</li> </ul>
<p>SAR5 – Product Acceptance Review</p> <p><i>This review covers Scottish Livescan.</i></p>	<ul style="list-style-type: none"> <li>ORR.</li> </ul>	<ul style="list-style-type: none"> <li>Type approval of IDENT1 Scottish Livescan units.</li> <li>MOUs agreed.</li> <li>Deployment plan agreed.</li> <li>Scottish Users trained in use of Livescan unit, including palm capture.</li> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
<p>SAR6 – Operational Acceptance Review</p> <p><i>This review covers Scottish Livescan.</i></p>	<ul style="list-style-type: none"> <li>Validation by means of an OAV of the criteria set out in section 2.3.2 above.</li> </ul>	<ul style="list-style-type: none"> <li>New IDENT1 Livescan unit's installed, tested and operational at current Scottish Livescan locataions that have not been replaced by 1 April 2005, with the remainder of the new IDENT1 Livescan units to be installed not later than 30 April 2005.</li> <li>MOU's signed off</li> <li>Review against Schedule F (<b>SLR</b>).</li> <li>Review of training effectiveness in accordance with</li> </ul>

		the Training Plan. <ul style="list-style-type: none"> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
<b>Applicable Use Cases/Requirements</b>		
Use Cases 1, 2 and 3		

Transition Milestone	Palm Searching		
IARs	Acceptance Events	Milestone Transition Checklist	
SAR1 – Lifecycle Objective Milestone Review <i>This review covers full IDENT1 capability.</i> <ul style="list-style-type: none"> <li>Validation of requirements</li> <li>Scope of development project agreed</li> <li>Requirements allocated to development projects</li> <li>Test criteria for requirements agreed</li> </ul>	<ul style="list-style-type: none"> <li>Use Case Model review</li> <li>Development plans scoped and reviewed</li> <li>System requirement review</li> <li>Initial Data Model review</li> <li>Initial Business Process Model review.</li> </ul>	<ul style="list-style-type: none"> <li>Glossary review</li> <li>Project risks identified</li> <li>Identification of test criteria for each requirement.</li> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> <li>Requirements allocated to development projects.</li> <li>Test criteria for requirements agreed.</li> <li>Project Configuration Control Board established.</li> <li>Test and Development facilities established.</li> <li>Service Management capability operational including Service Desk, User support and installation and</li> </ul>	

		<p>management support.</p> <ul style="list-style-type: none"> <li>• Business Vision review.</li> </ul>
<p>SAR2 – Lifecycle Architecture Milestone Review</p> <p><i>This review covers full IDENT1 capability.</i></p> <p><i>This review precedes SAR3 for Pre-FOC Checkpoint Transition Milestones.</i></p>	<ul style="list-style-type: none"> <li>• Updated Architecture Model reviewed.</li> <li>• Updated Data Model reviewed.</li> <li>• Updated Development plans reviewed.</li> <li>• Performance Model Reviewed.</li> </ul>	<ul style="list-style-type: none"> <li>• System Architecture risks mitigated.</li> <li>• Review of requirement changes.</li> <li>• System architecture stable.</li> <li>• System design aligned with Authority's IT strategies and policies.</li> <li>• Updated Business Vision</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
<p>SAR3 – Outline Design Review</p> <p><i>This review covers Palms.</i></p>	<ul style="list-style-type: none"> <li>• System design review.</li> <li>• Updated Data Model reviewed.</li> <li>• Identify and review requirement set.</li> <li>• Detailed Business Process Model and task analysis agreed.</li> <li>• Scope of testing agreed.</li> <li>• Performance Model Reviewed.</li> <li>• Usability Trials.</li> </ul>	<ul style="list-style-type: none"> <li>• Updated Development plans reviewed.</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> <li>• Palm data exchange format agreed (based upon ANSI/NIST).</li> </ul>
<p>SAR4 – Product Verification Review</p> <p><i>This review covers Palms.</i></p>	<ul style="list-style-type: none"> <li>• Testing the ability to capture and search palms.</li> </ul>	<ul style="list-style-type: none"> <li>• Acceptance test environment established.</li> <li>• Training Plan agreed.</li> </ul>

		<ul style="list-style-type: none"> <li>• Approval of Acceptance tests documentation.</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> <li>• Traceability of global functional and non-functional requirements to Test Cases.</li> <li>• Traceability of Use Cases to derived requirements to Test Cases.</li> </ul>
<p>SAR5 – Product Acceptance Review</p> <p><i>This review covers Palms.</i></p>	<ul style="list-style-type: none"> <li>• Testing the ability to capture and search palms.</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• FPOs trained for palm searching.</li> <li>• Validation of user manuals and training materials.</li> <li>• Deployment plan agreed.</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
<p>SAR6 – Operational Acceptance Review</p> <p><i>This review covers the Palms.</i></p>	<ul style="list-style-type: none"> <li>• Validation by means of an OAV in accordance with the Schedule O (<b>Documentation</b>) Acceptance Event Report.</li> </ul>	<ul style="list-style-type: none"> <li>• Successful rollout.</li> <li>• Ability to capture and search palms from any installed Bureau in England, Scotland or Wales.</li> <li>• Scanners upgraded, as required.</li> <li>• National palm searching enabled.</li> <li>• Encoding of existing National Palm collection completed.</li> </ul>



		<ul style="list-style-type: none"> <li>Local palm collections encoded, if appropriate.</li> <li>Review against Schedule F (SLR).</li> <li>Review of training effectiveness in accordance with the Training Plan.</li> <li>Documents updated and reviewed as per Schedule O (Documentation).</li> </ul>
<b>Applicable Use Cases/Requirements</b>		
Use Cases 4, 6, 7, 9, 15, 12, 13, 14		

Transition Milestone	TOR-SAFR	
IARs	Acceptance Events	Milestone Transition Checklist
SAR3 – Outline Design Review <i>This review covers IDENT1 full capability for Scotland.</i>	<ul style="list-style-type: none"> <li>System design review.</li> <li>Updated Data Model reviewed.</li> <li>Identify and review requirement set.</li> <li>Detailed Business Process Model and task analysis agreed.</li> <li>Scope of testing agreed.</li> <li>Performance Model Reviewed.</li> </ul>	<ul style="list-style-type: none"> <li>Updated Development plans reviewed.</li> <li>Documents updated and reviewed as per Schedule O (Documentation).</li> </ul>
SAR4 – Product Verification Review <i>This review covers IDENT1 full capability for Scotland.</i>	<ul style="list-style-type: none"> <li>Testing the SAFR capability.</li> </ul>	<ul style="list-style-type: none"> <li>Acceptance test environment established.</li> <li>Scottish weeding rules implemented.</li> <li>Training Plan</li> </ul>

		<p>agreed (Scotland).</p> <ul style="list-style-type: none"> <li>• Approval of acceptance tests documentation.</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> <li>• Traceability of global functional and non-functional requirements to Test Cases.</li> <li>• Traceability of Use Cases to derived requirements to Test Cases.</li> </ul>
<p>SAR5 – Product Acceptance Review</p> <p><i>This review covers IDENT1 full capability for Scotland.</i></p>	<ul style="list-style-type: none"> <li>• Operational readiness review prior to SAFR decommissioning.</li> <li>• Deployment plan agreed.</li> </ul>	<ul style="list-style-type: none"> <li>• MOUs agreed.</li> <li>• Permanent Glasgow Bureau established.</li> <li>• Bureaux systems provided for Aberdeen, Edinburgh and Dundee.</li> <li>• Scottish Bureaux staff trained on IDENT1 system.</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
<p>SAR6 – Operational Acceptance Review</p> <p><i>This review covers IDENT1 full capability for Scotland.</i></p>	<ul style="list-style-type: none"> <li>• Validation by means of an OAV of the criteria set out in section 2.3.3 above</li> </ul>	<ul style="list-style-type: none"> <li>• Successful rollout confirmed by each force by signed MOU.</li> <li>• Legacy SAFR data migrated to IDENT1 to form part of Unified Collection.</li> <li>• BRC of the SCRO paper Palm</li> </ul>

		<p>collection is complete.</p> <ul style="list-style-type: none"> <li>• Scottish SAFR MIS and audit data migrated to IDENT1.</li> <li>• Business continuity provided for Scotland.</li> <li>• Review against Schedule F (SLR).</li> <li>• Review of training effectiveness in accordance with the Training Plan.</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
<b>Applicable Use Cases/Requirements</b>		
All		

Transition Milestone	IDENT1 System HCI	
IARs	Acceptance Events	Milestone Transition Checklist
<p>SAR3 – Outline Design Review</p> <p><i>This review covers usability of IDENT1.</i></p>	<ul style="list-style-type: none"> <li>• Identify and review requirement set.</li> <li>• Outline Business Process Model and task analysis agreed and presented.</li> <li>• Performance of the UIEs.</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstration facility of UIEs established</li> <li>• Scope of usability trials agreed.</li> <li>• Updated Development plans reviewed.</li> <li>• Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
<p>SAR4 – Product Verification Review</p> <p><i>This review covers usability of IDENT1.</i></p>	<ul style="list-style-type: none"> <li>• Testing of finalized UIEs.</li> </ul>	<ul style="list-style-type: none"> <li>• Acceptance test environment established.</li> <li>• Approval of</li> </ul>

		usability tests documentation. <ul style="list-style-type: none"> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> <li>Training Plan agreed.</li> <li>Training materials approved.</li> <li>Traceability of global functional and non-functional requirements to Test Cases.</li> <li>Traceability of Use Cases to derived requirements to Test Cases.</li> </ul>
SAR5 – Product Acceptance Review <i>This review covers usability of IDENT1.</i>	<ul style="list-style-type: none"> <li>Deployment plan agreed.</li> <li>ORR</li> </ul>	<ul style="list-style-type: none"> <li>Deployment of new PC workstations and upgrades to ten print and mark scanners.</li> <li>Users trained on new Bureau HCI.</li> <li>Users trained on new Livescan HCI.</li> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>).</li> </ul>
SAR6 – Operational Acceptance Review <i>This review covers usability of IDENT1.</i> <i>This review may be combined with SAR6 for FOC-Provisional Transition Milestone if mutually agreed.</i>	<ul style="list-style-type: none"> <li>Validation by means of an OAV in accordance with the Schedule O (<b>Documentation</b>) Acceptance Event Report.</li> </ul>	<ul style="list-style-type: none"> <li>Successful rollout.</li> <li>Review against Schedule F (<b>SLR</b>).</li> <li>Review of training effectiveness in accordance with the Training Plan.</li> <li>Documents</li> </ul>

		updated and reviewed as per Schedule O (Documentation).
<b>Applicable Use Cases/Requirements</b>		
All (interface scenarios only)		

Transition Milestone	Pre - FOC Checkpoint	
IARs	Acceptance Events	Milestone Transition Checklist
<p>SAR3 – Outline Design Review</p> <p><i>This review covers the IDENT1 full capability (including Scotland).</i></p>	<ul style="list-style-type: none"> <li>System design review.</li> <li>Updated Data Model reviewed.</li> <li>Identify and review requirement set.</li> <li>Detailed Business Process Model and task analysis agreed.</li> <li>Scope of testing agreed.</li> <li>Performance Model reviewed.</li> </ul>	<ul style="list-style-type: none"> <li>Updated Development plans reviewed.</li> <li>Documents updated and reviewed as per Schedule O (Documentation).</li> </ul>
<p>SAR4 – Product Verification Review</p> <p><i>This review covers the IDENT1 full capability. (A separate SAR4 has been assumed for TOR-SAFR but may be combined with this SAR if mutually agreed)</i></p>	<ul style="list-style-type: none"> <li>All Use Cases tested in development environment.</li> </ul>	<ul style="list-style-type: none"> <li>Acceptance test environment established.</li> <li>Training Plan agreed.</li> <li>Approval of Acceptance tests documentation.</li> <li>Documents updated and reviewed as per Schedule O (Documentation).</li> <li>Traceability of global functional and non-functional requirements to Test Cases.</li> <li>Traceability of Use Cases to</li> </ul>

		derived requirements to Test Cases.
<p>SAR5 – Product Acceptance Review</p> <p><i>This review covers the IDENT1 full capability. (A separate SAR5 has been assumed for TOR-SAFR but may be combined with this SAR if mutually agreed)</i></p>	<ul style="list-style-type: none"> <li>• ORR.</li> <li>• Deployment plan agreed.</li> </ul>	<ul style="list-style-type: none"> <li>• Validation of user manuals and training materials.</li> <li>• Web services for all searches enabled.</li> <li>• Search fusion achieved.</li> <li>• Central and Bureau architectures rolled out.</li> <li>• All BRC activities completed.</li> <li>• External interface testing complete.</li> <li>• Schedule F/SLR updated to reflect FOC metrics and thresholds</li> <li>• All Bureaux furniture installed</li> <li>• Documents updated and reviewed as per Schedule O (Documentation).</li> </ul>
<b>Applicable Use Cases/Requirements</b>		
All		

Transition Milestone	FOC-Provisional	
IARs	Acceptance Events	Milestone Transition Checklist
<p>SAR6 – Operational Acceptance Review</p> <p><i>This review covers IDENT1 full capability to validate that the full functionality has been successfully deployed to all Bureau.</i></p>	<ul style="list-style-type: none"> <li>• Operational evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Successful installation.</li> <li>• Users trained on IDENT1 system.</li> <li>• Documents updated and reviewed as per Schedule O (Documentation).</li> </ul>

		<ul style="list-style-type: none"> <li>All functionality deployed on the operational system.</li> </ul>
<b>Applicable Use Cases/Requirements</b>		
All		

Transition Milestone	FOC	
IARs	Acceptance Events	Milestone Transition Checklist
PAR – BRC Completion Review <i>This review validates that all expected data is available.</i>		<ul style="list-style-type: none"> <li>Data integrity checks as deemed appropriate.</li> </ul>
	<ul style="list-style-type: none"> <li></li> </ul>	
PAR – Business Continuity Review <i>This review covers business continuity for the whole IDENT1 services</i>		<ul style="list-style-type: none"> <li>Business Continuity Plan is in place as detailed in Schedule O (<b>Documentation</b>) and plans have been tested.</li> </ul>
SAR6 – Operational Acceptance Review <i>This review covers IDENT1 full capability to validate that the system is running successfully.</i>	<ul style="list-style-type: none"> <li>Operational evaluation.</li> <li>Validation by means of an OAV of the criteria set out in section 2.3.4 above.</li> </ul>	<ul style="list-style-type: none"> <li>User Satisfaction Survey.</li> <li>All system design documents agreed.</li> <li>Electronic interface established between IDENT1 and Scottish CHS if requested by the Authority.</li> <li>Service transition complete.</li> <li>Stable operation under full operational Service Levels (in accordance with Schedule F (<b>Service Level</b></li> </ul>

		<b>Requirements)).</b> <ul style="list-style-type: none"> <li>All functionality deployed under the IDENT1 Services</li> <li>Review of training effectiveness in accordance with the Training Plan.</li> <li>Documents updated and reviewed as per Schedule O (<b>Documentation</b>)</li> </ul>
<b>Applicable Use Cases/Requirements</b>		
All		

<b>Other Milestone Activity</b>		
<b>IARs</b>	<b>Acceptance Events</b>	<b>Milestone Transition Checklist</b>
PAR – Periodic Interface Review <i>Covers PNC, PIFE and other key interfaces.</i>		<ul style="list-style-type: none"> <li>Operations and integrity of external interfaces reviewed and tested as agreed from time to time between the Authority and the Contractor.</li> </ul>
PAR – Progressive Improvement Review <i>Covers search accuracy</i>		<ul style="list-style-type: none"> <li>Search Accuracy Benchmark at FOC+1 validates accuracy targets in accordance with Schedule F (<b>Service Level Requirements</b>).</li> </ul>
PAR – Progressive Improvement Review <i>Covers search accuracy</i>		<ul style="list-style-type: none"> <li>Search Accuracy Benchmark at FOC+4 validates accuracy targets in accordance with Schedule F (<b>Service Level Requirements</b>).</li> </ul>



PAR – Security Accreditation Review <i>Covers security requirements</i>		<ul style="list-style-type: none"><li>• Accreditation in accordance with Schedule K (Security).</li></ul>
PAR – PNN/CJX Migration Review		<ul style="list-style-type: none"><li>• Validation of migration of WAN services to PNN/CJX.</li></ul>