

SCHEDULE G TRANSITION

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SCHEDULE G**TRANSITION****1 OVERVIEW****1.1 This Schedule:**

- 1.1.1 describes the approach and processes that the Contractor shall follow to achieve Transition;
- 1.1.2 describes the Transition Services and defines the responsibilities of the Contractor during the Transition Period to achieve Transition both by TOR and FOC (as applicable);
- 1.1.3 sets out the requirements for the management and further detailed development of the Transition Plan to achieve the transfer of the Services from the Incumbent Supplier to the Contractor and to enable the Contractor to assume responsibility for the provision of the Services from the applicable Transfer Date;
- 1.1.4 sets out the objectives to be met and the Transition Milestones for both TOR and FOC;
- 1.1.5 prescribes processes, procedures and governance principles (in accordance with Clause 9 of this Schedule) to be followed by the Parties in further agreeing Transition Milestones and Transition Criteria and escalating problems encountered during Transition;
- 1.1.6 prescribes the procedure to be followed by the Contractor in assessing CWIP prior to the relevant Transfer Date and for taking responsibility for delivering CWIP from such Transfer Date; and
- 1.1.7 prescribes procedures for maintaining and updating the Risk Register.

- 1.2 The Contractor's charges for all Transition Services provided in accordance with this Schedule are included in the Service Charges as set out in Schedule E (**Pricing**) and the Contractor shall not make any additional charge to the Authority in respect of such Transition Services.

2 OBJECTIVES AND REQUIREMENTS

- 2.1 The purpose of this Schedule is to ensure that Transition and the activities comprised therein shall meet the following objectives throughout Transition:

- 2.1.1 Key Transition Milestones shall be met by the dates set out in Annex G-1 of this Schedule;
- 2.1.2 any and all CWIP shall be delivered by the Contractor (with effect from the relevant Transfer Date) according to the delivery dates and costs previously agreed between the Authority and the Incumbent Supplier;
- 2.1.3 insofar as is reasonably practicable, disruption to the business and operations to the Authority shall be avoided;
- 2.1.4 the objectives set out in Schedule A (**Form of Contract**) shall be met; and

- 2.1.5 the continuity of the Authority's business shall be safeguarded and a Business Continuity Plan for all Services from the relevant Transfer Date(s) shall be delivered to the Authority by the Contractor by the date identified in Annex G-1 of this Schedule.

3 RESPONSIBILITIES

3.1 Transition Assistance

- 3.1.1 The Authority shall use its Commercially Reasonable Efforts (subject to Clause 3.1.2 below) to fulfil its responsibilities as expressly identified in this Schedule and/or the Transition Plan and/or Schedule V (**Authority's Responsibilities**). Any changes subsequently included in the Transition Plan which impose additional or more onerous obligations on the Authority shall be subject to and conditional upon the prior written agreement of the Authorised Commercial Representative of the Authority. Any such changes shall be agreed by the Parties in accordance with the procedures set out in Schedule L (**Change Control Procedure**).

- 3.1.2 Where the Authority fails to meet its responsibilities (as such responsibilities are described in Clause 3.1.1 above), the Parties shall discuss and agree any consequential changes to the Transition Milestone Plan required to achieve Transition in accordance with Clause 4.3 below.

3.2 Security

All Transition activity shall be performed in accordance with Schedule K (**Security**) and Schedule Q (**Contractor's Solution**).

4 CONTRACTOR'S TRANSITION PLAN

- 4.1 The Contractor shall achieve Transition by meeting the Milestones (the "**Key Transition Milestones**") as set out in Annex G-1 and summarised as follows:

- 4.1.1 the Contractor shall have completed the transfer of and assumed full responsibility for the fulfilment of all the Services that the Authority requires the Contractor to provide by TOR as identified in the Transition Plan; and
- 4.1.2 the Contractor shall have completed the transfer of and assumed full responsibility for the fulfilment of all the Services that the Authority requires the Contractor to provide by FOC as identified in the Transition Plan.

4.2 Content of Transition Plan

The Transition Plan shall be provided to the Authority as set out in Schedule O:31 (**Documentation**).

4.3 Updating and Changing the Transition Plan

- 4.3.1 The Transition Services, Transition Milestones and the Transition Criteria, as identified at the Effective Date, are set out in Annex G-1 and the Transition Milestone Plan (as applicable) and Schedule H (**Acceptance Procedures**), as applicable. The Parties agree that each new Transition Milestone to be proposed by the Authority or the Contractor after the Effective Date shall:

- (a) be entered by the Contractor in the Transition Milestone Plan as and when agreed under this Clause 4.3 and shall:
 - (i) be required to achieve the Key Transition Milestone occurring (A) on TOR (the “**TOR Transition Milestones**”) or (B) on FOC (the “**FOC Transition Milestones**”); or
 - (ii) to the extent not described in Clause 4.2.1(a)(i) above, comprise of those activities and deliverables which shall take place after the relevant Transfer Date (“**Post Transfer Date Transition Milestones**”);
 - (b) in the case of TOR Transition Milestones and FOC Transition Milestones, reflect the stages to be achieved during the Transition Period in order to achieve Transition by the relevant Key Transition Milestones;
 - (c) take account of the activities and deliverables set out in Annex G-2, Schedule O (**Documentation**) or Schedule Q (**Contractor’s Solution**); and
 - (d) correspond to the related information contained in the Transition Plan.
- 4.3.2 The Parties agree that any changes to the Transition Milestone after the Effective Date shall be made in accordance with Schedule L (**Change Control Procedure**).
- 4.3.3 Any changes to Annex G-1/G-2 which materially effect the products to be delivered under any Milestone are to be agreed via Schedule L (**Change Control Procedure**), such changes may be suggested by either Party.
- 4.3.4 The Parties acknowledge that day to day changes to Annex G-2 will be dealt with via changes to the IMS and shall be agreed by the Parties nominated technical representative or their authorised deputies. In addition to the above, the Contractor shall keep the Authority’s nominated commercial representative updated regularly (at least monthly) of any such changes.

5 TRANSITION CRITERIA

The Contractor shall provide the Transition Services as required under Clause 9 of Schedule B (**Conditions of Contract**) and the Contractor shall meet the Transition Milestones in accordance with the Transition Plan (including the applicable Transition Criteria). Agreed deliverables shall, where set out in the Transition Plan (for example, as part of the applicable Transition Criteria), be subject to acceptance testing in accordance with Schedule H (**Acceptance Procedures**).

6 RISK REGISTER

- 6.1 The Contractor shall, throughout Transition, work with the Authority to maintain and update a risk register for the Transition Services for the purposes of tracking identified risks against agreed timetables or Transition Milestones and resolving or escalating problems (“**Risk Register**”). For the avoidance of doubt, the Risk Register and any provisions contained within it are not, nor shall they be construed as being, legally binding on the Parties.
- 6.2 All changes to the Risk Register shall be managed and agreed between the Parties’ Transition managers and shall not be subject to the procedures in Schedule L (**Change Control Procedure**).

7 TRANSITION DELAY

- 7.1 The Contractor shall promptly draw the Authority's attention to any actual or probable delay that the Contractor is or becomes aware of in the performance of either Party's tasks under the Transition Plan likely to impact upon Transition timescales, in accordance with management method procedures in Clause 2 of Part A of Schedule Q (**Contractor's Solution**).
- 7.2 As soon as reasonably practicable following the Contractor becoming aware of such delay under Clause 7.1 above, the Contractor shall propose, for the Authority's approval at the forthcoming Transition manager's review meeting:
- 7.2.1 a plan of action to mitigate any risks to non-achievement of the Key Transition Milestones;
 - 7.2.2 a rigorous timetable for implementing the plan of action;
 - 7.2.3 whether or not escalation is required under Clause 9 of this Schedule at this stage;
 - 7.2.4 any necessary entries to the Risk Register to record the impact on the fulfilment of the Services and achievement of the Key Transition Milestones of any such delay; and
 - 7.2.5 whether any CCN is required to resolve the risk and any details relating to such CCN.
- 7.3 Any inability to agree the items set out in Clause 7.2 above, or any subsequent problem in implementing the plan of action within the timetable agreed between the Parties under Clause 7.2 above, shall be promptly escalated by each Party in accordance with Clause 9 below.
- 7.4 The provisions of this Clause 7 shall be without prejudice to the Parties respective rights and remedies set out in the Contract including for the avoidance of doubt the liquidated damages set out in Clause 17 of Schedule B (**Conditions of Contract**).

8 SERVICE LEVEL TRANSITION ACTIVITIES

During the Transition Period the Contractor shall continue to comply with the Service Levels in accordance with Schedule F (**Service Level Requirements**). The Contractor shall update the Service Levels and corresponding supporting materials to reflect any changes that the Parties agree to make to the Service Levels during the Transition Period.

9 REPORTING AND ESCALATION DURING TRANSITION

9.1 Transition Management Structure

- 9.1.1 Each Party shall appoint suitably qualified personnel and officers and, if relevant, agents and advisers, to the following levels for the purposes of managing Transition:
- (a) Transition managers who will be responsible for supervising the progress by the Transition team on each of the Transition work-streams set out in Annex G-2 and as otherwise appropriate; and
 - (b) such other levels of Transition-related governance as the Parties shall agree.
- 9.1.2 The Contractor shall control Transition through the application of the project and programme management disciplines as set in the management method provisions of Clause 2 of Part A of Schedule Q (**Contractor's Solution**).

9.2 Workshops and Reporting

- 9.2.1 The Contractor shall provide the Authority with periodic Transition progress reports in accordance with the reporting requirements set out in Schedule Q (**Contractor's Solution**). The reports shall also incorporate material from the project and programme management disciplines referred to in Clause 1 of Annex G-2, as appropriate. They shall identify both actual and anticipated problems and delays, the remedial actions being taken, and the contingency options (with regard to time, deliverable quality or any combination thereof) that are being considered.
- 9.2.2 The Transition managers shall meet on a periodic basis as mutually agreed (unless circumstances require more or less frequent meetings) to consider the Contractor's progress report and update the Risk Register, if required.
- 9.2.3 Where workshops are used by the Contractor as a tool to deliver Transition, the Contractor shall be responsible for the initiation, administration and leadership of such workshops and shall provide the Authority with details of the timing, location and proposed agenda for such workshops, as appropriate.
- 9.2.4 The Contractor shall manage Transition via periodic Transition meetings as mutually agreed between the Authority and the Contractor to discuss progress made, expected progress in the upcoming weeks issues, risks and, if appropriate, changes to the Transition Plan. Any unresolved matters shall be promptly escalated to the Authority as set out in Schedule I (**Contract Management**).
- 9.2.5 On a monthly basis, the Programme Status Review Meeting shall meet to provide programme steering assistance and ensure that the objectives of Transition are being met.

9.3 Escalation

- 9.3.1 During Transition, both Parties shall make every effort to ensure that all issues and disputes are resolved between the Parties' Transition managers. The periodic Transition management meetings shall be the initial route for raising all issues and disputes.
- 9.3.2 In the event that a dispute cannot be resolved by the Transition managers within one (1) week of it being raised, either Party may escalate the issue to the nominated representative as set out in Schedule I (**Contract Management**).

ANNEX G-1 - TRANSITION MILESTONE PLAN

The Transition Milestone Plan attached to this Annex G-1 contains the Transition Milestones agreed as at the Effective Date and shall be updated by the Contractor in accordance with the provisions of Clause 4.3 of Schedule G (**Transition**).

Transition Milestones	Milestone Delivery Date
<p>KEY MILESTONES</p> <p>The Transition Milestone Plan is broken down into the following “key milestones”:</p> <ol style="list-style-type: none"> 1. Programme Initiation 2. TOR-NAFIS 3. Scottish Livescan 4. Palm Searching 5. TOR-SAFR 6. IDENT1 System HCI 7. Pre-FOC Checkpoint 8. FOC-Provisional 9. FOC <p><u>STAGES OF MILESTONE DELIVERY</u></p> <p>The delivery of each Milestone set out below in this Annex G-1 has been broken down into the following stages:</p> <p>A) Description of Milestone – a summary of the key deliverable of the associated milestone.</p> <p>B) Prior Events – details of the prior events which need to have been undertaken or achieved before the milestone can be completed.</p> <p>C) Products Delivered – the list of products which should be delivered under the associated milestone as detailed in the Schedule D (Detailed Operational Requirements) and Schedule Q (Contractor’s Solution).</p> <p>D) Project Management Products Delivered - the list of project management products which should be delivered under the associated milestone as detailed in the Schedule D (Detailed Operational Requirements) and Schedule Q (Contractor’s Solution).</p>	

1	PROGRAMME INITIATION	17th January 2005
1.1	<i>Description</i>	
	A sound basis for commencing the IDENT1 programme has been established.	
1.2	<i>Prior Events</i>	
	Contract Award.	
1.3	<i>Products Delivered</i>	
	For this Milestone the Contractor shall provide an overview of each major functional area of its project team, with an introduction of key personnel, programme and transition approach, key deliverables, and initial risks/mitigations.	
	Risk Management Plan	
	Programme Quality Plan	
	Programme Initiation Review Documentation	
	All detailed in Schedule O (Documentation)	
1.4	<i>Project Management Products</i>	
	Integrated Master Schedule	
	Contractor-identified risks	
	Contractor-identified issues.	

2	TOR - NAFIS	1 April 2005 or 4 Months ACA, whichever is greater
2.1	<i>Description</i>	
	Responsibility for delivering the NAFIS Services transfers to the Contractor.	
2.2	<i>Prior Events</i>	
	Operational Acceptance Validation. Contractor staff trained on NAFIS. Staff recruited.	
2.3	<i>Products Delivered</i>	
	Security Accreditation Documents from Schedule O (Documentation) (49, 50, 51, 52, 53, 55, 56) Business Continuity Plan for TOR - NAFIS Glossary (Detailed Operational Requirements) Availability Plan Capacity Plan Configuration Management Plan Programme Documentation <ul style="list-style-type: none"> • Communication Plan • Operations and Maintenance Support Plan • Training Plan • Software Development Plan • Requirements Management Plan external ICD's for existing interfaces.	
2.4	<i>Project Management Products</i>	
	Next Stage plans.	

3 SCOTTISH LIVESCAN	1st April 2005
3.1 <i>Description</i>	
The Contractor transitions Scottish Livescan services to the IDENT1 Service. The Contractor takes on full operational responsibility for provision of the Scottish Livescan Service.	
3.2 <i>Prior Events</i>	
<p>As a minimum, Scottish Livescan functionality shall be provided at a level equal to existing Scottish Livescan service.</p> <p>Comms connectivity in place to meet current SAFR locations to be migrated to MPLS by 30 April 2005..</p> <p>Parallel Bureau or equivalent if agreed with Scotland established.</p> <p>Scottish Livescan Operational Readiness Review.</p>	
3.3 <i>Products Delivered</i>	
<p>New IDENT1 Livescan units in Scotland and support for existing Livescan units in Scotland that have not been replaced by 1 April 2005 is provided, with the remainder of the new IDENT1 Livescan units to be installed not later than 30 April 2005. Additional Service Desk support procedures for Scottish Livescan in place.</p> <p>Scottish User training material available.</p> <p>Livescan User manual available.</p> <p>Software bridge between SAFR and IDENT1 in place.</p> <p>Detailed Business Process Model.</p> <p>Training Plan.</p> <p>Test Procedure Specification.</p>	
3.4 <i>Project Management Products</i>	
<p>Product Descriptions for Service Desk support procedures, User training material and Livescan manual.</p> <p>Scotland Transition Project Plan.</p>	

4	PALM SEARCHING	1st August 2005
4.1	<i>Description</i>	
	Palm searching capability available to all installed Bureaux (England, Wales and Scotland).	
4.2	<i>Prior Events</i>	
	Benchmark Palm algorithms. Usability trials. Palm design review. Operational Readiness Review.	
4.3	<i>Products Delivered</i>	
	Pilot version of palm capability. Test Procedure Specification Training material for palm searching. User Manual Palm HCI Palm matchers for national searches	
4.4	<i>Project Management Products</i>	
	Palm Transition Plan. Updated IMS Acceptance Event Report (For Palm Project) IAR Closure Minutes	

5	TOR - SAFR	15th January 2006
5.1	<i>Description</i>	
	Scottish Bureaux can access the full capabilities of IDENT1 system and SAFR is decommissioned.	
5.2	<i>Prior Events</i>	

<p>ORR</p> <p>OAV</p> <p>Scottish Livescan milestone achieved.</p>	
5.3 <i>Products Delivered</i>	
<p>External ICD.</p> <p>Use case for CHS integration.</p> <p>Training Material.</p>	
5.4 <i>Project Management Products</i>	
<p>Updated IMS.</p> <p>Updated Scotland Transition Plan.</p> <p>Stage Plan.</p>	

6 IDENT1 SYSTEM HCI	1st October 2006
6.1 <i>Description</i>	
New Bureau workstation HCI implemented based on a series of User evaluations/Livescan.	
6.2 <i>Prior Events</i>	
<p>User Input Evaluation 1.</p> <p>User Input Evaluation 2.</p> <p>User Input Evaluation 3.</p> <p>Acceptance Test.</p> <p>Regression test.</p> <p>ORR.</p> <p>OAV.</p>	
6.3 <i>Products Delivered</i>	
<p>HCI Style Guide.</p> <p>Test Procedures</p> <p>Transition Plan (SISP)</p>	

HCI training materials.	
Acceptance Event Report	
User Manual	
Detailed Business Process Model.	
IAR Closure Minutes	
6.4 <i>Project Management Products</i>	
HCI deployment plan.	
Updated IMS.	

7 PRE-FOC CHECKPOINT	1st November 2006
7.1 <i>Description</i>	
Checkpoint for delivered functional capabilities prior to FOC.	
7.2 <i>Prior Events</i>	
ORR.	
7.3 <i>Products Delivered</i>	
Updated System Architecture Model.	
Test Procedures	
Stage Plan	
Acceptance Event Report	
IAR Closure Minutes	
Complete Business Process Model.	
7.4 <i>Project Management Products</i>	
Updated IMS.	

8 FOC-PROVISIONAL	1st December 2006
8.1 <i>Description</i>	

Full operational capability of IDENT1 established.	
8.2 <i>Prior Events</i>	
Updated IMS. Relevant documentation in Schedule O (Documentation) updated to reflect the proposed system to be delivered at FOC. Full operational Service Level capability achieved in accordance with Schedule F (Service Level Requirements).	
8.3 <i>Products Delivered</i>	
Services for IDENT1 FOC capability.	
8.4 <i>Project Management Products</i>	
Updated IMS. IAR Closure Minutes.	

9 FOC	1st January 2007
9.1 <i>Description</i>	
Full operational capability validated and accepted.	
9.2 <i>Prior Events</i>	
FOC-Provisional achieved OAV IAR Closure Minutes	
9.3 <i>Products Delivered</i>	
Validated IDENT1 FOC Service.	
9.4 <i>Project Management Products</i>	
Updated IMS Updates to relevant documentation in Schedule O (Documentation) to reflect the actual system delivered at FOC. Full operational Service Level capability achieved in accordance with Schedule F (Service Level Requirements).	

ANNEX G-2

DESCRIPTION OF TRANSITION

1 TRANSITION OVERVIEW

The Contractor shall produce a Transition Plan as described in Schedule O:31 (**Documentation**) for the Term of the Contract that covers FOC and any succeeding services.

The Contractor is intending to use the legacy architecture, including the System Architecture Document and System Design Description of NAFIS, as the foundation from which to evolve the Services.

The Contractor shall achieve TOR from NAFIS to the IDENT1 Service at the end of the Contract for NAFIS Services. This includes the transfer, management, and technical responsibility for all NAFIS Services requirements.

The Contractor shall manage the transition via the following four independent transition projects:

- The Migration Transition Project,
- The Palms Transition Project,
- The Scotland Transition Project, and
- The Strategic Identification Services Platform (SISP) Transition Project.

The transition projects shall be coordinated in an integrated fashion for economies of scale without creating any unnecessary interdependencies. Each project shall have detailed project plans prepared and approved by the Authority as described in Schedule O:11 (**Documentation**).

Each transition project shall be implemented in stages to minimise technical risk and disruption to operational Users. Stage plans and progress shall be monitored and reported to the Authority and stakeholders in accordance with approved project reporting procedures (as specified in management methods provisions of Clause 2 of Part A of Schedule Q (**Contractors Solution**)).

The Contractor shall conduct Operational Readiness Reviews (ORRs) and Operational Acceptance Validations (OAVs) with the Authority for all transition stage events that alter the system infrastructure.

The Contractor shall conduct a formal acceptance test as described in Schedule H (**Acceptance Procedures**) and OAVs with the Authority for stage events that deliver functional enhancements or implement User changes.

The Contractor shall manage all transition events in accordance with the Authority's processes that address technical, programmatic, and operational impacts.

The Contractor shall provide a Transition Manager, as set out in Part A of Schedule Q (**Contractors Solution**), to oversee all transition activities and serve as the main point of contact between the Contractor and the Authority in relation to transition activities.

The Contractor's transition activities shall include personnel with practical experience in

transitioning operational systems within the UK police and fingerprint environments.

1.1 Migration Transition Project

The Contractor's Migration Transition Project shall transition NAFIS Services to Services for IDENT1 FOC capability and shall include functional enhancements.

Stage 1 will provide the Authority and (if directed by the Authority) stakeholders with the ability to define and track key performance indicators such as MIS Dashboard, etc and other enhanced MIS reporting to the Authority. A MIS workstation shall be installed at NKBH and HDC to allow the Authority to monitor and analyse business performance. The Contractor shall provide onsite assistance to the Authority on the use of the business intelligence tool for the first month following installation.

The Contractor's Stage 2 shall deliver hardware and COTS upgrades which include but shall not be limited to, the following:

- Lightweight Directory Access Protocol (LDAP) to support IDENT1 directory information and security mechanisms.
- Transition of the central and bureaux databases from Informix to Oracle.
- Upgrade of the servers to support new IDENT1 functionality, where appropriate.
- Upgrade of legacy RAID at bureaux and central segments, to support increased workload under Services.
- Upgrade of the existing network backbone at central sites to support the addition of new hardware.
- Conducting a business process review of bureau mark scanning and printing activities as an element of business effectiveness.

Stage 3 shall provide functional enhancement described in Schedule D (**Detailed Operational Requirements**) required to evolve the NAFIS Services to the Services that are not already provided under the other transition projects. Such enhancements shall include but not be limited to the ability to search free text fields / using keywords, and to allow individual bureaux to configure workflow for confirmation of identifications within the context of business rules.

Stage 4 shall provide upgrades to the ten (10) print and mark scanners which includes but shall not be limited to the following:

- at a minimum, the front side scanner shall capture 10 bits/pixel at 500dpi and the back side shall simultaneously capture 8 bits/pixel at 500dpi.
- all flatbed scanners. At a minimum, the scanners shall output up to 16 bits/pixel to the workstations. Deployment of upgraded scanners shall be concurrent with deployment of PC workstations to minimise disruption to the bureaux.

Stage 5 shall provide upgrades to the legacy WAN which include but shall not be limited to the following:

- the conversion of the legacy Police National Computer (PNC) interface to Internet Protocol.
- transition of the legacy frame relay WAN to MPLS.

1.2 Palms Transition Project

The Contractor's Palms Transition Project shall be broken down into 4 stages and shall deliver a national, integrated palm-searching capability. The Contractor shall develop a Transition Plan for this project as detailed in Schedule O:31 that shall address the following areas:

- Palm Human Computer Interface (HCI) changes,
- Palm matchers for national palm searching,
- Palm searching at bureaux, and
- Encoding of existing palm prints.

Stage 1 shall address the following:

- The Contractor shall deploy a pilot version of the palm capability to the Usability Laboratory. The Contractor shall conduct demonstrations, at the discretion of the Authority, with Users to obtain feedback on the proposed HCI.
- The Contractor shall conduct benchmarking and testing of new palm algorithms.
- The Contractor shall conduct an Operational Evaluation of the palm matching algorithms.
- The Contractor shall upgrade training systems and the Test and Development configurations to support palm-searching capability.

Stage 2 shall deploy the operational palm-searching capability as follows:

- The Contractor shall conduct an ORR as a formal transition meeting to assess and determine readiness to deploy.
- The ORR shall review results of development and testing.
- The ORR shall also address a deployment schedule, including pre-release orientation and a review of training documentation.
- The deployment planning shall include the deployment of Print Set scanner upgrades required to support palm searching.
- The Contractor shall deploy palm matching algorithms and processors to the operational system.

- The Contractor shall provide onsite training and assistance to bureau staff as part of the deployment process.

Stage 3 shall include the capability to import palm data from standalone palm systems at Avon and Somerset, Kent, Bedfordshire, Leicestershire, and West Yorkshire.

- The Contractor shall define an AIS data exchange format, in accordance with ANSI NIST.
- The bureau shall be responsible for delivering legacy data in the approved format.

Stage 4 shall encode palm prints and palm marks currently stored in the national collection. This conversion shall be undertaken by the Contractor. The conversion process shall provide the capability for bureaux personnel to monitor the process for quality purposes.

1.3 Scotland Transition Project

The Contractor shall provide accommodation for the training system for the transition training of the SFS until transition from SAFR to IDENT1. The training system for the SFS shall be located either at the same premises as the Glasgow Bureau or at a mutually agreed-upon alternate location.

The Contractor's Scotland Transition Project shall integrate Scotland into the Services. This project shall deploy Livescan units with palm capture capability at Scottish charging stations and fully integrate SAFR into the IDENT1 Services.

The Contractor shall develop a Transition Plan for the Scotland Transition Project as detailed in Schedule O:31 (**Documentation**). The transition plan shall address the overall transition approach and detail the stages within the project. The Scotland Transition Project shall be divided into the following six stages:

- (1) Stage 1—Parallel Bureau Configuration.
- (2) Stage 2—Existing Livescan Service Transition.
- (3) Stage 3—Data Migration.
- (4) Stage 4—Scottish Transition to IDENT1.
- (5) Stage 5—Deploy Additional Livescan EIUs.
- (6) Stage 6—Scotland Criminal History Link.

Stage 1 shall establish a parallel IDENT1 bureau configuration at Glasgow. This stage includes the development and installation of a software bridge that provides the ability to process print sets from IDENT1 Livescan EIUs on both IDENT1 and SAFR.

- Stage 1 shall deploy the initial IDENT1 bureau system within the current SCRO facility space, or in a mutually agreed-upon alternate location in close proximity to SCRO. The bureau shall be configured with a server, RAID, local area network, and a minimum two workstations. The Contractor shall be responsible for all facility costs should the alternate location be required.

- Stage 1 activities shall provide the capability to test Livescan EIU connectivity to SAFR prior to replacing existing Scotland Livescan units with IDENT1 Livescan units.
- Stage 1 installation shall provide the ability to support early familiarisation training of operators in the basic functionality provided by IDENT1 Print Sets.
- Stage 1 shall extend the IDENT1 Comms WAN to existing SAFR locations.

Stage 2 shall transition Scottish Livescan service to IDENT1 and shall install (or takeover) and make operational IDENT1 Livescan EIUs at each current Scotland Livescan location. Deliverables shall include but not be limited to:

- installing (or takeover)and making operational IDENT1 Livescan EIUs at remaining locations in Scotland during Stage 2;
 - developing a rollout plan with the SFS and the Authority; and
 - providing onsite training for each deployed location;
- assuming full operational responsibility for each Livescan EIU upon installation or takeover of existing units;
- enabling the capture of palms and the retention of a copy of palm images of the new installed units in IDENT1;
- allowing print sets to be searched against both the SAFR and IDENT1 Print Set databases; and
- enabling searching of IDENT1 and SAFR unidentified marks databases.

Stage 3 shall provide for the migration of legacy SAFR data to IDENT1, including BRC of palm images held in paper format by SCRO. The Contractor shall perform the BRC on all existing SAFR records. Deliverables shall include but not be limited to:

- the capability to hold records in a Unified Collection and to maintain selected records in the SAFR;
- establishing, in coordination with SFS and the Authority, weeding rules specific to Scotland records;
- ensuring that each SAFR Print Set record is searched against the IDENT1 Unified Collection to ensure that no duplicates exist. SFS Fingerprint Experts shall be required to review respondents and confirm identity and disposition. Support the transfer of legacy Scottish SAFR MIS and audit data to IDENT1; and
- providing a business continuity capability for Scotland AFR records through the IDENT1 central facilities.

Stage 4 shall transfer Scottish fingerprint services to IDENT1. The Contractor shall work with SFS to coordinate the decommissioning of the legacy SAFR. Deliverables shall include but not be limited to:

- deploying IDENT1 bureau systems at Aberdeen, Edinburgh, and Dundee;
- providing an IDENT1 suite of equipment in Scotland to support transition training. The Contractor shall provide onsite training of the IDENT1 system, and usage to bureau and SCRO staff to support initial operations;
- providing an OAV in accordance with Schedule H (**Acceptance Procedures**); and
- providing for a 30-day operational period under the IDENT1 Service Level Request (SLR) to verify that the system meets performance and availability requirements.

At the completion of Stage 4, the full TOR for Scotland is complete.

Stage 5 shall deploy any remaining Livescan EIUs to the Scottish forces that were not deployed during Stage 2.

If requested by the Authority, Stage 6 shall provide an electronic interface between IDENT1 and the Scottish CHS. This stage shall provide the capability to update both the IDENT1 database and the Scottish Criminal History database as a result of arrest processing.

The Contractor shall develop a Use Case in conjunction with the SCRO and the Authority. Upon agreement of the Use Case, the Contractor shall develop an inception review and prepare an ICD. Full implementation shall include elaboration and construction reviews prior to transition. The Contractor shall work with the Authority to ensure that IDENT1 can access both CHS and PNC .

1.4 **SISP Transition Project**

The Contractor's SISP Transition Project shall deliver the strategic platform for full IDENT1 Services at FOC. The Contractor shall initially develop a transition plan for the SISP Transition Project as detailed in Schedule O:31. This project shall build upon the system upgrades from the Contractor's Migration Transition Project and shall be based on Web application server technology and standardised Simple Object Access Protocol ("SOAP"), interfaces. The project shall modify the Services through functional enhancements as described in Schedule D (**Detailed Operational Requirements**), COTS software upgrades, delivery of new hardware, security upgrades, and communications upgrades.

The Contractor's SISP transition project approach shall emphasise business continuity during normal operations and during system evolution through incremental design and delivery of new capabilities and functionality. The Contractor's SISP Transition Project shall be delivered via the following four (4) subprojects:

- (1) Central Architecture Subproject;
- (2) Matcher Upgrade Subproject;

- (3) Bureau Architecture Subproject; and
- (4) Bureau Workstation HCI Subproject.

Each subproject shall be implemented via stages.

Any stage with an ITED release within the SISP Transition Project that alters the infrastructure shall include regression tests, an internal Contractor ORR, and an OAV with the Authority.

Any stage within the SISP Transition Project that delivers new functionality or changes that impact Users shall conclude with formal acceptance tests with the Authority, followed by an Authority-witnessed OAV as detailed in Schedule H (**Acceptance Procedures**).

The Central Architecture Subproject shall deliver and install Web services and application servers, with load balancing between central facilities. This subproject shall be divided into two (2) stages:

- (1) High Availability Live ID Searches Stage.

The Contractor shall implement two additional applications servers at the primary and secondary central sites, for hosting central web services. The Services shall be configured to support load balancing between sites and to provide automatic failover for web-hosted services.

The Contractor shall reconfigure Livescan EIUs to send Live ID requests to applications servers. The Contractor shall configure internal and external web portals and the central sites for entry points for the MIS Dashboard, system status and monitoring, service desk ticket status, and data management functions.

- (2) Web Services for All Searches Stage.

The Contractor shall transition all search transactions to use high-availability web services, with associated load-sharing and failover features.

The Matcher Upgrade Subproject builds upon the legacy scalable matching subsystem to provide higher accuracy and increased flexibility. This subproject shall be divided into three stages:

- (1) Matcher Platform Enhancement Stage.

The Contractor shall expand the Services to handle multiple encoding and matching algorithms. The Contractor shall implement new feature extraction as a BRC process, without interruption to the operational system. Software deployments of new capabilities shall be conducted in incremental releases that are planned and coordinated with the Authority. The Contractor shall conduct database integrity checks as an integral aspect of this stage.

- (2) Data Fusion Stage.

The Contractor shall deploy data fusion between the SAGEM and legacy algorithms. The Services shall use features from both algorithms. The System shall retain tracking of resultant search score as to whether it comes from legacy, SAGEM or fused algorithms.

The Contractor shall begin storing, on a day one forward basis, all available friction ridge detail from each arrest form. The Contractor shall conduct operational testing of the accuracy and performance improvements associated with using multiple rolls, and rolls with flats.

(3) Person Fusion Stage.

The Contractor shall deploy the fusion of searches against flats and multiple rolls, into a single fused score for a person. The matching subsystem shall indicate whether the respondent was a plain or a roll and the associated FIN as defined in Schedule D (**Detailed Operational Requirements**). The corresponding plain or roll shall be returned to the User for verification.

The Bureau Architecture Subproject develops a new bureau architecture suitable for IDENT1 applications with web services. This subproject shall be divided into three stages:

(1) Port to Linux Stage.

The Contractor shall port the existing HCI to PCs running the Linux operating system. A phased deployment plan of PCs to the bureaux shall be developed in coordination with the Authority.

The deployment shall be managed as a production release and shall include the deployment of the agreed-upon number of additional workstations.

(2) Application Server Infrastructure Stage.

The Contractor shall develop and deploy the Application Server as the repository for the business logic accessed by the bureau workstations. The bureau Application Server shall provide standard J2EE services, including:

- (i) Security;
- (ii) Messaging;
- (iii) Networking;
- (iv) Database connectivity;
- (v) Web services connectivity with SOAP;
- (vi) Connections to legacy systems; and
- (vii) Transaction management.

(3) Bureau Services Stage.

The Contractor shall transition the business logic from the workstation HCI to the bureau services on the bureau Application Server.

The Contractor's transition shall allow the new architecture to coexist at the bureau with legacy architecture to minimise impact on Users.

The deployment of the architecture shall be piloted at the Contractor's bureau configuration prior to rollout to operational forces

The Contractor shall develop, in coordination with the Authority, a deployment schedule with the forces. The deployment schedule shall address bureau training implications.

The Contractor's Bureau Workstation HCI Subproject shall provide a new workstation HCI, based on a series of User evaluations. This subproject shall be divided into four (4) stages:

(1) User Input Evaluation (UIE) 1 Stage.

The Contractor shall conduct a UIE to gain feedback from Users on the Contractor's initial prototype. The UIE shall contain mockups of the main screens and shall contain demonstrations of the main threads for Ten Print and Mark transactions.

(2) UIE 2 Stage.

The Contractor shall incorporate comments from UIE 1 and shall conduct a second UIE to gain additional feedback on the updated prototype. This UIE shall contain mockups of additional, lower level screens, as well as new screen functionality and enhancements.

(3) UIE 3 Stage.

The Contractor shall incorporate comments from UIE 2 and shall conduct a final UIE. The Contractor shall incorporate comments from UIE 3 and provide mockups of all screens, as well as IDENT1 capabilities.

(4) Integration with Bureau Web Services Stage.

The Contractor shall integrate the standalone workstation HCI with the bureau server, using web services. The new HCI shall be deployed in a planned release to the bureaux. Bureau PCs running Linux shall be transitioned to the Windows OS if requested by the Authority.

The Contractor shall conduct acceptance and regression testing. The Contractor shall develop deployment plans, in coordination with the Authority and the forces. The deployment plans shall address rollout activities, including User training.

1.5 Data Migration and Back Record Conversion (BRC)

Data Migration and Back Record Conversion activity are included within each of the above projects. The following information summarises these activities.

The Contractor shall prepare a Data Migration and BRC plan for the conversion of NAFIS and SAFR records.

The Data Migration plan will include the migration of the MIS, Audit, Archive, Image and Encoding, ORD, Serious Crime Cache, and Police Eliminations data.

The Contractor shall use ISO Standard 2859-1 for sampling methodology for quality and data integrity.

The Stage Plan (O:18) shall define roles and responsibilities for the Contractor, the Authority, and all relevant stakeholders in relation to DM and BRC activity.

The Contractor shall derive the IDENT1 Services Unified Collection of Print Sets and palms from legacy NAFIS Services and SAFR Services records. The Contractor shall ensure that encoding of the IDENT1 Services Unified Collection of Print Sets is done automatically. The Contractor shall provide access for the Authority and bureaux

staff to review samples for quality and data integrity.

The Contractor shall perform paper BRC of SAFR palm image records. The Contractor personnel shall perform the BRC tasks, with Authority approval and oversight. BRC for Scotland palm image records shall be completed by TOR-SAFR.

The Contractor shall provide the capability and processes to transfer Leicestershire, Bedfordshire and West Yorkshire bureaux palm system records to the IDENT1 Services. These records were created with NAFIS Services record identifications and shall be added to the Unified Collection.

The Contractor shall provide a record format and interface for the transfer of Avon and Somerset and Kent Bureaux palm system records and automatically encode those records. Upon agreement of an AIS data exchange format, in accordance with ANSI NIST, the bureaux may elect to transfer all or selected records. Records that are transferred will be encoded and images will be stored in IDENT1 Services formats.

The Contractor shall perform BRC activities of NIST formatted palm records for the Staffordshire bureau.

The Contractor shall perform the automated data migration of the unified unidentified marks collection from existing records held on NAFIS Services and SAFR Services systems. All marks shall be retained as encoded by the Fingerprint Officers (FPOs) on those systems.