



---

## CONTENTS

1.	PURPOSE	2
2.	BACKGROUND TO THE CONTRACTING AUTHORITY	2
3.	BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT	2
4.	DEFINITIONS	2
5.	SCOPE OF REQUIREMENT	3
6.	THE REQUIREMENT	3
7.	KEY MILESTONES	4
8.	AUTHORITY'S RESPONSIBILITIES	4
9.	REPORTING	4
10.	VOLUMES	4
11.	CONTINUOUS IMPROVEMENT	4
12.	SUSTAINABILITY	5
13.	QUALITY	5
14.	PRICE	5
15.	STAFF AND CUSTOMER SERVICE	5
16.	SERVICE LEVELS AND PERFORMANCE	5
17.	SECURITY REQUIREMENTS	6
18.	INTELLECTUAL PROPERTY RIGHTS (IPR)	6
19.	PAYMENT	7
20.	ADDITIONAL INFORMATION	7
21.	LOCATION	7

---

OFFICIAL



**1. PURPOSE**

1.1 The Forensic Information Databases Service (FINDS) require the services of a UKAS accredited certification body to perform audits and to provide certification to ISO 9001.

**2. BACKGROUND TO THE CONTRACTING AUTHORITY**

2.1 The FINDS is part of the Home Office Security, Science and Innovation Directorate dedicated to the provision of timely, accurate and impartial forensic information to aid in the prevention and detection of crime. The Unit ensures the timely and cost effective delivery of the National DNA Database (NDNAD), the National Footwear Database (NFD), the Missing Persons DNA Database (MPDD), the Vulnerable Persons DNA Database (VPDD), the National Fingerprint Office (NFO) and Application Support to police forces and other stakeholders whilst ensuring the integrity of the records. This helps to maintain public confidence and supports policing in reducing crime, maintaining order, and bringing criminals to justice.

**3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT**

3.1 The FINDS have a requirement to put in place a three year Contract (with the option to extend for a further year) for a UKAS accredited certification body to perform audits and provide them with certification to ISO 9001.

3.2 The FINDS are committed to maintaining International Standards Organisation (ISO) 9001 certification. This requires the creation, implementation, maintenance and continuous improvement of a procedure driven business management model, called a Business Management System (BMS). Compliance with the requirements of ISO 9001 and the subsequent certification ensures that the Units operate an effective and universally recognised system for the scoping, delivery and measurement of customer satisfaction.

3.3 Currently the FINDS undergo external audits by a UKAS accredited certification body on a 6 monthly basis to ensure maintenance of certification to ISO 9001 with a longer recertification audit every 3 years.

3.4 The current ISO 9001:2015 certificate for the NDNAD, NFD, MPDD and VPDD expires on the 15<sup>th</sup> June 2018. The NFO and Application Support require certification to the ISO 9001 standard.

3.5 Currently there are approximately 42 members of staff operating for the organisation from two sites. The NFO is located in London and the NDNAD, NFD, MPDD, VPDD and Application Support are located in Birmingham.

**4. DEFINITIONS**

Expression or Acronym	Definition
BMS	means Business Management System
FINDS	means Forensic Information Databases Service
ISO	means International Standards Organisation
MPDD	means Missing Persons DNA Database



NDNAD	means National DNA Database
NFD	means National Footwear Database
NFO	means National Fingerprint Office
UKAS	means United Kingdom Accreditation Service
VPDD	means Vulnerable Persons DNA Database

## 5. SCOPE OF REQUIREMENT

5.1 The scope of the requirement extends to the provision of the services of a UKAS accredited certification body to perform audits and provide certification to ISO 9001 to the FINDS.

5.1.1 There is a requirement to certify the NFO and Application Support to ISO 9001:2015 by April 2018. The NDNAD, NFD, MPDD and VPDD already hold certification to ISO 9001:2015 but require a UKAS accredited certification body to perform surveillance audits to ensure maintenance of certification to ISO 9001.

5.1.2 The FINDS are only seeking a Provider to provide ISO 9001 certification, audits to other standards are not required.

## 6. THE REQUIREMENT

6.1 The Provider shall carry out an ISO 9001:2015 certification audit for the NFO and Application Support by April 2018.

6.2 The external Provider shall carry out audits to an agreed schedule to ensure continued certification to ISO 9001:2015 for all of FINDS e.g. annually or 6 monthly. The required frequency and justification should be provided in the Provider's response to the tender.

6.3 The Provider will also need to be able to provide any additional audits or consultation to ensure the closure of any major-non-conformances (should they occur) within the required timeframes to enable the organisation to maintain their ISO certification.

6.4 A plan for the audit should be agreed up to one month before the start date of the audit. The subject of each audit is at the discretion of the certifying auditor. Areas and clauses for audit will be selected through agreement between the organisation and the external Provider prior to the audit.

6.5 It is the responsibility of the auditor to electronically prepare comprehensive reports on findings, good practice, poor practice, and suggested improvements whilst stating specific reference to the respective clauses under ISO 9001.

6.6 The audit report should be submitted (electronically as a PDF document) to the organisation within two weeks of completion of the audit.

6.7 A schedule of audits for the 3 year period will need to be agreed between the Provider and the organisation at the start of the Contract. The specific dates for

OFFICIAL



audits should be agreed between the external Provider and the organisation up to six months (but no less than 1 month) in advance of the start date of the audit.

- 6.8 The external Provider **must** provide the organisation with the security clearance, date of expiry of security clearance, and the CV of all potential auditor(s). The selection of the auditor to undertake the audits should be agreed between the external Provider and the organisation.

## 7. KEY MILESTONES

- 7.1 The Potential Provider should note the following project milestones that the Authority will measure the quality of delivery against:

Milestone	Description	Timeframe
1	Provider to confirm and agree scope and dates of the certification audit for the NFO and Application Support under this Contract.	Within week 2 of Contract Award
2	Provider to confirm and agree scope and dates of first surveillance audit under this Contract with the organisation. This may need to exclude the NFO and Application Support depending on timescale for the certification audit.	Within week 2 of Contract Award
3	The Provider to agree with the organisation the schedule of audits going forward.	Within week 6 of Contract Award
4	A review meeting (teleconference) between the Provider and the organisation to check understanding, review KPIs, and discuss how the Contract is going should occur 12 months after the start of the Contract unless significant concerns on either side warrant an earlier discussion.	12 months after Contract Award

## 8. AUTHORITY'S RESPONSIBILITIES

- 8.1 The FINDS will provide contact details of key project personnel upon the award to the successful certification body.
- 8.2 Any documentation for audit purposes that is required in advance by the Potential Provider will be provided by FINDS.

## 9. REPORTING

- 9.1 Upon completion of each audit the auditor shall provide a full audit report as detailed in section 6.6.

## 10. VOLUMES



10.1 Currently the FINDS have a 3 day certification audit every 3 years and 1 day surveillance audit every 6 months, however, it is expected that the number of days will likely increase with the additions of the NFO and Application Support.

**11. CONTINUOUS IMPROVEMENT**

11.1 The Supplier will be expected to continually improve the way in which the required Services are to be delivered throughout the Contract duration.

11.2 Changes to the way in which the Services are to be delivered must be brought to the Authority’s attention and agreed prior to any changes being implemented.

**12. SUSTAINABILITY**

12.1 There are no sustainability considerations for this requirement.

**13. QUALITY**

13.1 The Provider of ISO 9001 certification services **must** hold ISO/IEC 17021:2011 or ISO 17021:2015 to provide ISO 9001:2015 quality management systems certification accredited by the United Kingdom Accreditation Service (UKAS).

**14. PRICE**

14.1 Consultant day rates should be provided with a breakdown of the number of days required to meet the requirements of this Contract.

14.2 A formal quote shall be submitted via the Appendix E and shall include expenses but excluding VAT.

**15. STAFF AND CUSTOMER SERVICE**

15.1 The Authority requires the Potential Provider to provide a sufficient level of resource throughout the duration of the Provision of Audit Services for FINDS ISO 9001 Certification Contract in order to consistently deliver a quality service to all Parties.

15.2 Potential Provider’s staff assigned to the Provision of Audit Services for FINDS ISO 9001 Certification Contract shall have the relevant qualifications and experience to deliver the Contract.

15.3 The Potential Provider shall ensure that staff understand the Authority’s vision and objectives and will provide excellent customer service to the Authority throughout the duration of the Contract.

**16. SERVICE LEVELS AND PERFORMANCE**

16.1 The Authority will measure the quality of the Supplier’s delivery by:

KPI/SL A	Service Area	KPI/SLA description	Target
1	Audit Scheduling	The date for the next audit should be agreed between the external Provider and the organisation up to six months (but no less than 1 month) in advance of the start date of the audit.	100%



2	Audit Planning (scope and areas for audit)	A plan for the audit should be agreed up to one month before the start date of the audit.	100%
3	Audit Reports	The audit report should be submitted (electronically as a PDF document) to the organisation within two weeks of completion of the audit.  Containing as a minimum findings relating to good practice, poor practice, and suggested improvements and stating specific reference to the respective clauses under ISO 9001.	100%

- 16.2 Where the organisation identifies poor performance against the agreed KPI's, the Provider shall be required to attend a performance review meeting. The performance review meeting shall be at an agreed time no later than 10 working days from the date of notification at the organisations' premises.
- 16.3 The Provider shall be required to provide a full incident report which describes the issues and identifies the causes. The Provider shall also be required to prepare a full and robust 'Service Improvement Action Plan' which sets out its proposals to remedy the service failure. The Service Improvement Plan shall be subject to amendment following the performance review meeting and agreed by both parties prior to implementation.
- 16.4 The organisation agrees to work with the Provider to resolve service failure issues. However, it will remain the Provider's sole responsibility to resolve any service failure issues.
- 16.5 Where the Provider fails to provide a Service Improvement Plan or fails to deliver the agreed Service Improvement Plan to the required standard, the organisation reserves the right to seek early termination of the Contract in accordance with the procedures set out in Appendix C - Terms and Conditions.

## 17. SECURITY REQUIREMENTS

- 17.1 Auditors will be required to hold security clearance to SC level and have valid NPPV3 clearance.
- 17.2 In order for the auditor to gain access to site, details of the auditor will need to have been provided in advance including details of security clearances. Auditors will also be required to have photographic ID on them to gain access to site.
- 17.3 All staff of the Provider's organisation who have access to the audit report and any material marked officially sensitive will need to hold security clearance at SC level.

## 18. INTELLECTUAL PROPERTY RIGHTS (IPR)

OFFICIAL



---

18.1 The Intellectual Property Rights on all work undertaken under this Contract will be in line with the Contract standard terms and conditions.

**19. PAYMENT**

19.1 Payment can only be made following satisfactory completion of pre-agreed audits and agreement of the report with the customer.

19.2 Before payment can be considered, each invoice must contain a valid purchase order number and must include a detailed elemental breakdown of work completed and the associated costs.

19.3 Invoices should be submitted to Home Office Shared Service Centre with a copy sent to the Quality and Risk Manager.

**20. ADDITIONAL INFORMATION**

20.1 There is no additional information for this requirement.

**21. LOCATION**

21.1 The location of the Services will be carried out in Birmingham (Solihull) and 1<sup>st</sup> Floor, Fry Building, Home Office 2, Marsham Street (London, SW1P 4DF).



**Annex 1**

**Home Office Travel and Subsistence Policy**