

**INVITATION TO TENDER**

**&**

**STATEMENT OF REQUIREMENT**

**Production of Network documentation and Cyber Security plan**

**CPV Code: 32400000; 79710000**

**Tender Reference: (provided by Procurement) ORR/CT/18-18**

**Purpose of document**

The purpose of this document is to invite proposals for **Production of Network**

**Documentation and Cyber Security plan** for the Office of Rail and Road (ORR).

This document contains the following sections:

 1. Introduction to the Office of Rail and Road

 2. Statement of Requirement

 3. Tender Proposal & Evaluation Criteria

 4. Procurement Procedures

**1. Introduction to the Office of Rail and Road (ORR)**

The Office of Rail and Road is the independent safety and economic regulator of Britain’s railways who now also hold Highways England to account for its day-to-day efficiency and performance, running the strategic road network, and for delivering the five year road investment strategy set by the Department for Transport (DfT).

ORR currently employs approximately 300 personnel and operates from 6 locations nationwide. The majority of personnel are located at ORR’s headquarters, One Kemble Street, London.

Our strategic objectives

**1. A safer railway:** Protecting passengers, the workforce and the travelling public is at the heart of what we do. We will continue to hold industry to account to deliver safety improvements, focusing especially on level crossings, the train-to-platform gap, and through overseeing better design at the outset.

**2. Better customer service:** Our response to the recent ‘super-complaint’ highlights more which can be done to deliver a better deal for passengers in respect of compensation for delays.  We shall, as promised, monitor operators’ progress closely here, as indeed we shall on complaints handling, on provision for disabled passengers, and on information provided during disruptions.

**3. Value for money from the railway:** The rail network is in the middle of a challenging, multi-billion pound investment programme. We want to see the infrastructure owner, train operator and freight company working together to improve efficiency and boost value for money for taxpayers, fare payers and funders. We will continue to monitor and report on Network Rail’s performance to help ensure that it operates as a world-class, efficient asset management company.

**4. Better highways:** Highways England now has a £15bn, five-year plan with eight specific targets. Our role is to monitor its progress on this. These targets include a 40% reduction in the number of people killed or seriously injured by 2020; a road user satisfaction score of 90% by March 2017; clearing 85% of incidents within an hour; and making £1.2 billion of savings on capital expenditure.

**5. Promoting a dynamic and commercially sustainable rail sector:** Our vision for the future will be set out in our first core document outlining the next Periodic Review, “PR18”, which we will consult on from later in the Spring.

Building on the recommendations of the Shaw review, PR18 will consider options for route based regulation, underpinned by a strong system operator and for an effective charging and incentives regime for Network Rail as the network monopoly.

**6. High performing regulation:** Structural and funding changes shaping both the rail and road networks mean that a high performing regulator is more vital than ever. We are continually developing our professional expertise to ensure maximum, positive impact. Working across rail and road in a joined up manner is also supporting us in developing and applying proportionate, risk-based regulation.

Supplying ORR

The ORR procurement unit is responsible for purchasing the goods and services necessary for ORR to achieve its role as the economic and health & safety regulator of the rail industry.

The ORR Procurement unit subscribes to the following values:

* to provide a modern, efficient, transparent and responsible procurement service;
* to achieve value for money by balancing quality and cost;
* to ensure contracts are managed effectively and outputs are delivered;
* to ensure that processes have regard for equality and diversity; and
* to ensure that procurement is undertaken with regard to Law and best practice.

For further information on ORR please visit our website: [www.orr.gov.uk](http://www.orr.gov.uk)

Security at ORR

ORR is a non-ministerial government department that abides by Cabinet office security standards. To this end ORR aims to meet the requirements of the Security policy framework and the government security classification scheme for documentation. ORR holds documentation at no higher level than OFFICIAL.

Small and Medium Enterprises

ORR considers that this contract may be suitable for economic operators that are small or medium enterprises (SMEs) and voluntary organisations. However, any selection of tenderers will be based on the criteria set out for the procurement, and the contract will be awarded on the basis of the most economically advantageous tender.

Small and Medium Enterprises and Voluntary Organisations:

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| --- | --- | --- | --- | --- |
| **Enterprise Category** | **Headcount** | **Turnover**  | **or** | **Balance Sheet Total** |
| **Micro** | **<10** | **≤ € 2 million** | **≤ € 2 million** |
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| **Small** | **<50** | **≤ € 10 million** | **≤ € 10 million** |
|
| **Medium** | **<250** | **≤ € 50 million** | **≤ € 43 million** |
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| **Large** | **>251** | **> € 50 million** | **> € 43 million** |

Please ensure that you indicate how your organisation is categorised on the Form of Tender document which should be submitted along with your proposal.**2. Statement of Requirement**

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| **2.1 Background to the project** |
| The IS department forms part of Corporate Operations, providing the IT support and service desk as well as managing the IT infrastructure and IT vendor relationships for the Office of Rail & Road.In 2017 we performed an IT transition migrating from a managed service provider to an in-house IT support model and moving to a cloud based platform, performing a full hardware and application refresh.  |
| **2.2 Project Objectives & Scope** |
| The objective of this project is to;1. Produce policy documentation relating to ORR’s Network security,
2. Produce a cyber risk-assessment
3. Produce a detailed Cyber security plan;
4. Carry out and document a GAP analysis on the capabilities and vulnerabilities of our network and infrastructure.
5. Review and provide feedback on the current network documentation.

Key tasks will include an independent external supplier working with the individuals who created and maintain our existing Network, documentation and procedures, to determine the gaps and produce policies and procedures which are aligned to our environment. All required documentation and access will be provided to the identified supplier to assist with the process.The outcome of this project is for ORR conforming and achieving its target objective of being compliant and in line with the NCSC ’10 Steps’ process and long-term Security objectives of ORR plus a resilient and robust infrastructure and network.The work will involve using information and documentation produced as part of our IT transition and creating additional policies and procedures to supplement it. There are a number of schematics and process’s that have been created as part of our transition and it is expected the successful company will use this to produce a Network security document covering the following areas;Overview and details of Network security (Not exhaustive);* Structure of Network (some diagrams have already been produced)
* Details of security layering practices, malware policy and protection, anti-virus protection, use of firewalls, end user protection etc.
* Whitelisting, blacklisting, control of scrips and content filtering
* Baseline secure build and end user device security
* Control of Wi-fi (Wifi Policy Doc)
* Authentication policy, permissions hierarchy
* Configuration policy, control and management
* Managing import and export of data and removable media controls.
* Exception handling, and mobile working.
* Current active monitoring capability.
* Protection of data at rest and in transit.

Cyber Security planUsing the published data, supplemented with what will be produced as part of this work, a cyber-security plan will need to be produced. This will require the successful suppliers to work with ORR staff to produce;1. An in-depth risk assessment (Cyber specific) which can be used going forward as part of the plan to achieve ’10 steps’.
2. A gap analysis identifying gaps in our policies and procedures and guidance on the capabilities and vulnerabilities of ORR’s network and infrastructure environment.
3. A cyber security plan.

We anticipate the duration of project taking up 8 weeks for completion and working within the constraints of available resources and budget. The documentation existing to be extended upon are primarily visio process charts identifying the various internal support procedures our Service desk, Information Management and Security manuals (in Word). The IT team also comprises of 1 security manager, 1 information document manager and an overall Service Operations manager. |
| **2.3 Project Outputs, Deliverables and Contract Management**  |
| **Outputs and Deliverables*** The selected supplier should prepare a project plan and present it with the proposal. If a contract is awarded to the supplier, the plan should be kept up-to-date. It is expected that this will involve a certain amount of working on site alongside ORR staff to which access will be given to the ORR network (minimum 2 days on site).

The consultant will need to work with the relevant ORR stakeholders in its role to:1. Determine and produce policy and procedure documentation relating to ORR’s Network security,
2. Carry out and document a GAP analysis on the capabilities and vulnerabilities of our network and infrastructure.
3. Produce an in-depth risk assessment (Cyber specific) which can be used going forward as part of the plan to achieve ’10 steps’.
4. Produce a detailed cyber security plan.
5. Review and provide feedback on the current network documentation.

Subject to the following;* Interim documentation and presentation (so that ORR has the opportunity to provide comments before the documentation finalised)
* A presentation of the findings and recommendations to the ORR and guidance on required areas of improvement and missing information
* A workshop, if necessary with the relevant people to address the outlined steps from the recommendations to ORR and to carry out an assessment of ORR’s cyber risks.
* Final documentation which incorporates the amendments from ORR

**Contract Management*** The company will be expected to attend regular project management meetings as and when required at ORR’s office during the course of the project. Provide regular progress updates on weekly basis (by way of email and call) to ORR’s project manager
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| **2.4 Project Timescales** |
| Proposed timetable;1. The duration of the project is expected to be 8 weeks. A tentative project timescale could be:
* Initial fact finding meeting with relevant ORR staff [Mid July 2018]
* Discussion of the consultant’s initial findings and draft submissions late July, beginning of August.
* Workshops and Final documentation two weeks after receipt of ORR’s comments on the draft report (September 2018)
* Follow up as necessary.
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| **2.5 Budget and Payment Schedule** |
| The maximum budget for this piece of work is up to £20,000 (inc. of expenses and VAT), however ORR expects bids to be significantly below this threshold.**Payment Options**Payment of the total fee will be on the delivery and acceptance by ORR of all required outputs and/or deliverables. |
| **2.6 Further project related information for bidders** |
| **Intellectual Property Rights**ORR will own the Intellectual Property Rights for all project related documentation and artefacts. **Transparency requirements**Please note ORR is required to ensure that any new procurement opportunity above £10,000 (excluding VAT) is published on Contracts Finder, unless the ORR is satisfied it is lawful not to. Once a contract has been awarded as a result of a procurement process, ORR is required to publish details of who won the contract, the contract value and indicate whether the winning supplier is a SME or voluntary sector organisation. **Confidentiality**All consultants working on the project may be required to sign a confidentiality agreement and abide by the Cabinet Office’s protective marking guidelines, which ORR uses to protectively mark a proportion of its information. In addition, the consultant may be required to sign additional confidentiality agreements as required by external stakeholders. **Sub-Contractors**. Contractors may use sub-contractors subject to the following:* That the Contractor assumes unconditional responsibility for the overall work and its quality;
* That individual sub-contractors are clearly identified, with fee rates and grades made explicit to the same level of detail as for the members of the lead consulting team.

Internal relationships between the Contractor and its sub-contractors shall be the entire responsibility of the Contractor. Failure to meet deadlines or to deliver work packages by a subcontractor will be attributed by ORR entirely to the Contractor. |

**3. Tender Response & Evaluation criteria**

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| **3.1 The Tender Response** |
| The proposals for this project should include an outline of how bidders will meet the requirement outlined in section (ii) “Statement of Requirement”. The following information should be included: **a) Understanding of customer's requirements** * Demonstrate an understanding of the requirement and overall aims of the project.

**b) Approach to customer's requirements**:* Provide an explanation of the proposed approach and any methodologies bidders will work to;
* Details of your assumptions and/or constraints/dependencies made in relation to the project
* A project plan to show how outputs and deliverables will be produced within the required timescales, detailing the resources that will be allocated;
* An understanding of the risks, and explain how they would be mitigated to ensure delivery
* What support bidders will require from ORR;

c) **Proposed delivery team*** Key personnel including details of how their key skills, experience and qualifications align to the delivery of the project; and
* Project roles and responsibilities
* Some relevant examples of previous work that bidders have carried out (eg. case studies) **AND/ OR** Details of at least two relevant reference projects along with contact details of clients

**d) Pricing**A fixed fee for the project inclusive of all expense. This should includea breakdown of the personnel who will be involved with the project, along with associated charge rates and anticipated time inputs that can be reconciled to the fixed fee. |
| **3.2 Evaluation Criteria** |
| Tenders will be assessed for compliance with procurement and contractual requirements which will include:* Completeness of the tender information
* Completed Declaration Form of Tender and Disclaimer
* Tender submitted in accordance with the conditions and instructions for tendering
* Tender submitted by the closing date and time
* Compliance with contractual arrangements.

Tenders that are not compliant may be disqualified from the process. We reserve the right to clarify any issues regarding a Bidder’s compliance. It will be at ORR's sole discretion whether to include the relevant Bidder’s response in the next stage of the process. The contract will be awarded to the Bidder(s) submitting the **‘most economically advantageous tender’**. Tenders will be evaluated according to weighted criteria as follows: **Methodology (15%)**The proposal should set out the methodology by which the project requirement will be initiated, delivered and concluded. In particular, it must:a) Explain the methodology and delivery mechanisms to ensure that the requirements of this specification are met in terms of quality;b) Explain how your organisation will work in partnership with ORR’s project manager to ensure that the requirement is met1. Explain how your organisation will engage with external stakeholders;
2. Outline how the proposed approach utilises **innovative** consultation methodologies to develop a diverse and comprehensive evidence-base

**Delivery (35%)**The proposal should set out how and when the project requirement will be delivered. In particular, it must:a) Explain how this work will be delivered to timescale and how milestones will be met, detailing the resources that will be allocated to each stage; b) Demonstrate an understanding of the risks, and project dependencies and explain how they would be mitigated to ensure project delivery; c) Explain the resources that will be allocated to delivering the required outcomes/output, and what other resources can be called upon if required.**Experience (25%)**The proposal should set out any experience relevant to the project requirement. In particular, it must:a) Provide CVs of the consultants who will be delivering the project; b) Highlight the organisation’s relevant experience for this project, submitting examples of similar projects.**Cost / Value for money (25%)**A **fixed fee** for delivery of the project requirement (inclusive of all expenses), including a full price breakdown for each stage of the project and details of the day rates that will apply for the lifetime of this project.

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| Name of consultant | Grade | Role  | Day rate | Number of days | Total cost (ex VAT) |
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Please note that consultancy grades should align with the following definitions:

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| **Grade** | **Requirement** |
| Junior consultant | Demonstrable experience in a wide range of projects in their specialist field. Evidence of client facing experience and support services to wider consultancy projects. |
| Consultant | Notable experience and in-depth knowledge of their specialist field. Evidence of a wide range of consultancy projects and client facing experience. Support work in process and organisational design and leading workshops and events. |
| Senior Consultant | Substantial experience in their specialist field and in a consultancy/training role. Previous experience in project management and working in a wide range of high quality and relevant projects. Familiarity of the issues/problems facing public sector organisations. |
| Principal Consultant | Substantial experience in their specialist field and in a consultancy/training role. Sound knowledge of the public sector and current policy and political issues affecting it. Previous experience in project management on at least three major projects, preferably in the public sector and using the PRINCE2 or equivalent method. |
| Managing Consultant | Substantial experience in their specialist field and in a consultancy role. In depth knowledge of the public sector and of current policy and political issues affecting it. Previous experience in project management on at least 5 major projects, preferably in the public sector and using PRINCE2 or equivalent methods. |
| Director / Partner | Extensive experience in their specialist field, in which they are nationally or internationally renowned as an expert. Extensive experience of leading or directing major, complex and business critical projects; bringing genuine strategic insight. In depth knowledge of the public sector and of current policy and political issues affecting it. |

**Marking Scheme**

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| Score 0  | Unanswered or totally inadequate response to the requirement. Complete failure to grasp/reflect the core issues |
| 1 | Minimal or poor response to meeting the requirement. Limited understanding, misses some aspects |
| 3 | Good understanding and interpretation of requirements, providing clear evidence of how the criterion has been met |
| 5 | Excellent response fully addressing the requirement and providing significant additional evidence of how the criterion has been met and how value would be added |

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**4. Procurement procedures**

Tendering Timetable

The estimated timescales for the procurement process are as follows:

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| **Element** | **Timescale** |
| Invitation to tender issued | 13/06/18 |
| Deadline for the submission of clarification questions | 30/06/18@12:00pm |
| Deadline for submission of proposals | 06/07/18@12:00pm |
| Shortlisted suppliers notified | 09/07/18 |
| Interviews and presentations\* | 11/07/18 |
| Award contract | 13/07/18 |
| Project Inception Meeting | 16/07/18 |

\*Please ensure that the Project Manager and other key consultants who will be delivering this work are available to give presentations on the interview date

Tendering Instructions and Guidance

**Amendments to ITT document**

Any advice of a modification to the Invitation to Tender will be issued as soon as possible before the Tender submission date and shall be issued as an addendum to, and shall be deemed to constitute part of, the Invitation to Tender. If necessary, ORR shall revise the Tender Date in order to comply with this requirement.

**Clarifications & Queries**

Please note that, for audit purposes, any query in connection with the tender should be submitted via the ORR eTendering portal.The response, as well as the nature of the query, will be notified to all suppliers without disclosing the name of the Supplier who initiated the query.

**Submission Process**

Tenders must be uploaded to the ORR eTendering portal **no later** than the submission date and time shown above. Tenders uploaded after the closing date and time may not be accepted. Bidders have the facility to upload later versions of tenders until the closing date/time.

Please submit the Form of Tender and Disclaimer certificate along with your proposal. If you are already registered on our eTendering portal but have forgotten your login details, please contact the portal administrator.

An evaluation team will evaluate all tenders correctly submitted against the stated evaluation criteria.

By issuing this Invitation to Tender ORR does not undertake to accept the lowest tender, or part or all of any tender. No part of the tender submitted will be returned to the supplier

**Cost & Pricing Information**

Tender costs remain the responsibility of those tendering. This includes any costs or expenses incurred by the supplier in connection with the preparation or delivery or in the evaluation of the tender. All details of the tender, including prices and rates, are to remain valid for acceptance for a period of 90 days from the tender closing date.

Tender prices must be in Sterling.

Once the contract has been awarded, any additional costs incurred which are not reflected in the tender submission will not be accepted for payment.

**References**

References provided as part of the tender may be approached during the tender stage

**Contractual Information**

Following the evaluation of submitted tenders, in accordance with the evaluation criteria stated in this document, a contractor may be selected to perform the services and subsequently issued with an order.

Any contract awarded, as a result of this procurement will be placed with a prime contractor who will take full contractual responsibility for the performance of all obligations under the contract. Any sub-contractors you intend to use to fulfil any aspect of the services must be identified in the tender along with details of their relationship, responsibilities and proposed management arrangements.

The proposal should be submitted in the form of an unconditional offer that is capable of being accepted by the ORR without the need for further negotiation. Any contract arising from this procurement will be based upon ORR’s standard Terms & Conditions (see Form of Agreement attached). You should state in your proposal that you are willing to accept these Terms & Conditions.

The ORR does not expect to negotiate individual terms and expects to contract on the basis of those terms alone. If you do not agree to the Conditions of Contract then your tender may be deselected on that basis alone and not considered further.

The ORR may be prepared to consider non-fundamental changes to the standard terms and conditions in exceptional circumstances. If there are any areas where you feel you are not able to comply with the standard ORR terms and conditions, then details should be submitted as a separate annex to the proposal using the following format:

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| --- | --- | --- | --- |
| ***Clause Number*** | ***Existing Wording*** | ***Proposed Wording*** | ***Rational for amendment*** |
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Any services arising from this ITT will be carried out pursuant to the contract which comprises of:

* ORR Terms & Conditions;
* Service Schedules;
* this Invite to Tender & Statement of Requirement document; and
* the chosen supplier’s successful tender.

## ORR’s Transparency Obligations and the Freedom of Information Act 2000 (the Act)

The ORR is a central Government department and as such complies with the Government’s transparency agenda. As a result, there is a presumption that contract documentation will be made available to the public via electronic means. The ORR will work with the chosen supplier to establish if any information within the contract should be withheld and the reasons for withholding it from publication.

Typically the following information will be published:

* contract price and any incentivisation mechanisms
* performance metrics and management of them
* plans for management of underperformance and its financial impact
* governance arrangements including through supply chains where significant contract value rests with subcontractors
* resource plans
* service improvement plans

Where appropriate to do so information will be updated as required during the life of the contract so it remains current;

In addition, as a public authority, ORR is subject to the provisions of the Freedom of Information Act 2000. All information submitted to a public authority may need to be disclosed by the public authority in response to a request under the Act. ORR may also decide to include certain information in the publication scheme which it maintains under the Act. If a bidder considers that any of the information included in its proposal is commercially sensitive, it should identify it and explain (in broad terms) what harm may result from disclosure if a request is received and the time period applicable to that sensitivity. Bidders should be aware that even where they have indicated that information is commercially sensitive ORR may be required to disclose it under the Act if a request is received. Bidders should also note that the receipt of any material marked “confidential” or equivalent by the public authority should not be taken to mean that the public authority accepts any duty of confidence by virtue of that marking. If a request is received ORR may also be required to disclose details of unsuccessful bids

Please use the following matrix: to list such information:

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| Para. No. | Description | Applicable exemption under FOIA 2000 |
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