

Ref.	Question	Response
1	We are a company that outsources our data to a company that is ISO27001 compliant. Is this acceptable?	Any company that has direct access to the service or to the data or has responsibility for management of security must be certified for at least one of ISO 27001, Ministry of Defence List X, or Cyber Essentials Plus. TNA's strong preference is for one of the preceding three certifications; if you hold a certification other than these, which you believe to be relevant, please tell us what it is.
2	Which environments does the initial indicative cost need to consider? Development, Test, UAT and Production?	The solution must include a live production environment; and incorporate some facility for TNA administrators to test configuration settings and functionality without affecting production data or the live user experience; and a training area, or facility for any user to experiment with features.
3	How many different content types do you currently have on the system? E.g. Contracts, Technical Documents, Policies.	We do not make active use of content types other than distinguishing email; 'email' being a subtype of 'document' and having additional metadata based on the email header. There are also cross-references, which act similarly to symbolic links. We have about forty retention schedules, which can be considered as information types, although documents assigned to different schedules do not have different metadata. Potential suppliers may propose a solution using more content types if they believe this meets TNA requirements.
4	How many metadata fields does the current system have? Can you share the metadata schema with us?	For the purposes of migration (but subject to discussion with the successful supplier), TNA's preference is: Documents: Name, Path, Date last modified, Date created, Last edited by, Created by, Owner [if relevant], Former ID [up to 8 chars], Protective Marking, File Extension, Notes [free text field]. Email: As documents, plus email header (To, From, CC, BCC, attachment name(s), email date, subject). Folders: Name, Path, Date last modified, Date created, Last edited by, Created by, Owner [if relevant], Former ID [up to 8 chars], Notes [free text field].

		<p>Files/aggregations: As folders plus Closure Status, Closure Date, Retention Schedule, Due Date/Sentencing [to enable retention action to be carried out].</p> <p>Little non-system metadata is used.</p> <p>Past audit information (e.g. open or edit events) may be retained outside of the replacement system and therefore is not required to be migrated.</p>
5	How many different permission groups does the current system have?	Several hundred exist. TNA consider the possibility of simplifying/refreshing the permissions groups to Department and certain role-based groups (e.g. director or department head), which will total approximately 100.
6	Which environments will need High Availability?	Only cloud production environment need be High Availability.
7	Can you explain a bit more about the difference between aggregation and folders in the current implementation?	'Aggregations' or 'files' are the container on which retention is applied. They have a control that allows only one level of folder underneath. This is to restrict their size, to help ensure that the applied retention schedule is appropriate to everything inside. Files are 'closed' manually, often at year-end or project end by departmental super users (see Appendix A, 1.4) which makes them read-only and sets the start of the retention period. At the end of the period, files and their contents are either deleted or exported (archived) according to the schedule. See also question 4, describing the additional metadata set on aggregate containers.
8	Are there any workflow requirements for the new system?	TNA have not defined a specific workflow requirement. However, where potential suppliers feel this could add value, such as in the orderly creation and review of documents, this may be appropriate as an 'additional feature and function' in terms of the final bullet in section 5.2 of the stage 1 document.
9	Are connections required to any network other than the internet? e.g. PSN	No
10	Do users remotely access the current system via any network other than	No

	the internet?	
11	Are there any security constraints imposed by TNA with regards to accessing their AD via the internet?	We will assess the security of the solution described in the proposal. Any use of AD should be secure, but the specifics will depend on the proposed implementation.
12	Are there any specific legal data retention requirements with regards to the TNA Corporate Information?	<p>Finance documents are subject to National Audit Office requirements/Financial Act regulations.</p> <p>The Public Records Act 1958: this requires us to be able to select records for permanent preservation and to keep those records safe. To do this effectively we need to manage information throughout its lifecycle.</p> <p>The Data Protection Act 1998: this requires us to collect, keep, protect, use and share personal information according to the 8 data protection principles, and to tell people, on request, if we hold personal data relating to them, and to give it to them (unless certain exemptions apply).</p> <p>The Freedom of Information Act 2000: this requires us tell people, when they ask, if we have certain information, and to give it to them (unless certain exemptions apply). We can only do this if we are managing our information well so we know what we know what information we have, where it is, and what its significance is.</p>
13	Are there any specific controls around the handling of the OFFICIAL SENSITIVE data that has been mandated by the TNA SIRO?	OFFICIAL-SENSITIVE documents should be clearly marked as such. It would be expected that they would have more restrictive access controls. TNA value functionality that assists administrators in monitoring handling of protectively marked materials.
14	With regard to numbers of users, are there any significant changes expected or forecast over the length of the contract?	No significant changes are forecast. Depending on the functionality of the chosen solution, the cost and training requirement, it may be desirable for the approximately 80 staff described in Appendix A to be given access to the system. The National Archives will prefer a flexible solution where the number of paid for user accounts can grow or shrink according to staff levels.
15	With regards to data volumes, are there any significant changes	Previous volumes and document counts have been given in Appendix A

	expected in the indicated trends over the length of the contract?	section 2.3 to indicate recent growth. No significant deviation from this growth rate is expected.
16	Please can TNA clarify its position regarding the use of near shore or off shore resources to deliver some of the development/implementation/support services that may be involved in delivering and supporting this contract? Is this permissible and, if so, are there any limitations which TNA may impose on their use?	No view on using resources to deliver the solution but no data should be accessed or stored outside the EEA. Access to our system remotely will require appropriate SC clearance otherwise contractors will need to be supervised on-site.
17	If our legal team cannot accept the Ts and Cs referred to in the tender document, is TNA willing to negotiate based on an alternative set of Ts and Cs?	We will consider negotiating points of detail that are relevant to the nature of the service offered and that we believe are in the interests of both parties.
18	Is TNA exploring an option to upgrade its existing Objective solution to a SaaS based solution from the same vendor?	No – although the incumbent supplier is free to respond to this tender, in the same way as any other interested parties.
19	Are there any plans to migrate Exchange 2013 to Office 365?	Yes, our aim is to move to Office 365 but no dates as yet. This may depend on the solution recommended.
20	Do you require licensing for the current licensed user base of 540, or would you like to extend licensing to the further 80 users mentioned that do not currently have Objective licensing?	Depending on the functionality of the chosen solution, the cost and training requirement, it may be desirable for the approximately 80 staff described in Appendix A to be given access to the system. The National Archives will prefer a flexible solution where the number of paid for user accounts can grow or shrink according to staff levels.
21	Please could you supply a copy of the referenced "TNA IT Strategy" document in section 1.2 of document "EDRM ITT Stage 1 FINAL"?	We do not consider this material to the bid. If you wish you may explain the reasons for requesting this information and we will consider.
22	How have TNA determined the £400,000 indicated budget on the OJEU contract notice? Is this an indication of the available budget and/or TNA's estimate of the implementation effort and SaaS/BAU services required for the 3 year period? It would be helpful to understand what is in scope within this budget.	The £400,000 figure quoted is reflective of TNA's estimate as to what the maximum <u>total</u> contract value could be over the full contract period (including extension options), including contingency to cover off any additional services we may wish to commission during the contract period. It is not a statement of our available budget.
23	Section 1.2 of document "EDRM ITT Stage 1 FINAL" mentions "Our aim is to shift from an internally-hosted EDRM to a cloud solution, in line with	The first of these: our suggested move to the cloud is in line with GDS standards.

	Government Digital Service (GDS) standards". Do you simply mean that your suggested move to cloud is in line with GDS standards? Or do you also mean that the project needs to be run in accordance with the GDS process and will be subject to GDS assessments as part of the implementation process?	
24	How did TNA compile the personas in Appendix B? What user research techniques were applied? Is a full list of user stories available to be shared with suppliers to help us prepare cost estimates? If user stories are not available, do TNA require supplier assistance with discovery activities to compile them, or would this activity be undertaken separately prior to contract award?	User personas were developed via interviews conducted by a party independent of the EDRM business owners. User stories were developed into the requirements of the main tender document. At this stage of the process, pricing is indicative only and not used for evaluation.
25	Section 5.2 of document "EDRM ITT Stage 1 FINAL" mentions interfaces with "Microsoft Office/365". Does TNA have any existing Office365 licensing, and if so, what plan?	Our aim is to move to Office 365 but no dates as yet. This may depend on the solution recommended. We do not have Office 365 licensing but have OfficeProPlus licensing.
26	Does the current Objective system have the necessary functionality and licensing to export the content (complete with metadata and audit inform) as a batched process?	The Objective system has an available export functionality. Export is also possible by directly accessing the metadata database, and the associated (flat) file store. For the latter method, scripting would be required if it were necessary to recreate the folder structure seen by Objective users.
27	Is the level of internal resource required to administer the system an important consideration to you when considering overall costs?	TNA's current internal resource is described in Appendix A, section 1.4. For ongoing (non-transition) administration, TNA prefer not to increase this. It will be considered in the overall cost if additional TNA resources are required but will not if fewer.
28	Can we please obtain a copy of the Corporate Records Policy document from the publication scheme as on the following site: http://www.nationalarchives.gov.uk/foi/pubscheme/pubscheme.asp?l1_cat_id=5&l2_cat_id=150&l1_name=Our+policies+and+procedures&l2_name=Policies+and+procedures+for+the+conduct+of+business	This is attached.
29	Would it be feasible to use offshore resources for selected development tasks providing they have no access to the live environment or live data?	See question 16.

30	With Regards to Question 6 within 'Category 1 - Software' - Is it acceptable for data to be exported in the same format it was stored in whilst in the EDRMS i.e. no file conversion process as part of export	We do not expect file conversion to be carried out as part of export.
31	With Regards to Question 1 within 'Category 1 - Software' - Is the TNA looking for suggestions as to how to manage email alongside documents or is it also looking for suggestions on how to move mailboxes to the cloud as part of this proposal.	We are looking for suggestions as to how to manage email alongside documents.
32	With regards to Appendix A - 1.9 - Can we assume these are going to be in place before the new solution is to be brought into live operation?	These are planned but cannot be assumed.
33	Do project team members with access to the Live environment require any form of security clearance? (E.g. CTC, SC)	Access to our system will require appropriate SC clearance otherwise contractors will need to be supervised on-site.
34	Do you require support with any internal or external accreditation processes? For example: technology review, security testing, GDS assessment/review.	No
35	Do TNA want the 80 staff members who don't currently have access to have access and are these onsite users?	Depending on the functionality of the chosen solution, the cost and training requirement, it may be desirable for the approximately 80 staff described in Appendix A to be given access to the system. The National Archives will prefer a flexible solution where the number of paid for user accounts can grow or shrink according to staff levels.
36	How many departments are there roughly?	There are around 32 departments.
37	Do you want to retain your general permissions model?	We prefer to retain the general model, in particular the principle of openness, but will consider other permissions models. See also question 5.
38	Is the intention for users to have a 'Home Area'?	It is TNA's preference for users to have a private filing space to keep information that is relevant only for themselves. We prefer that administrators can set limits or constraints on these areas to discourage excessive filing in them.
39	Is there a requirement for a replacement Intranet or similar function?	Neither a replacement intranet nor migration from our current intranet

		<p>solution is directly part of this tender. However, functionality in a solution that may allow it to serve as an intranet at a later date, may be considered an 'additional feature and function' in terms of the final bullet in section 5.2 of the stage 1 document.</p>
40	<p>Please confirm the requirement is to migrate the metadata record of all 2400 past and present users. Which fields types would be migrated for this requirement e.g. Created By and Modified By etc.?</p>	<p>See question 4 for metadata migration. We prefer if user information of past users (e.g. created by) is available as well as that of current users.</p>
41	<p>Can you confirm whether the requirement is to migrate all document versions?</p>	<p>Only the latest document version need be migrated.</p>
42	<p>Can you confirm the migration is from the current Objective EDRM system only, not from other sources (such as file shares, Confluence, CRM etc.)?</p>	<p>Yes: for this tender, the migration is indeed only from the current Objective EDRM.</p>
43	<p>Will the current Business Classification Scheme be mapped like for like to the new solution?</p>	<p>It is TNA's preference that the Business Classification Scheme in the new solution is reminiscent of the one in current use (Appendix A), in order to remain familiar to our users; particularly in terms of the departmental organisation and upper levels. However, potential suppliers may submit alternative schemes where they feel it meets our requirement.</p>
44	<p>Does TNA already use Microsoft SharePoint and if so:</p> <ol style="list-style-type: none"> 1. Is this an on premise or Online/SaaS version? 2. What is SharePoint currently used for? 	<p>We do not currently use Sharepoint.</p>