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1. PURPOSE

- 1.1 [REDACTED]
- 1.2 HMT now requires a review of its data eco-system. [REDACTED] Now is the right time to conduct a holistic review to identify current capacity and understand potential areas for improvement.
- 1.3 We want to understand whether OFSI has the right architecture, systems, and processes to use, store and share the data it receives to make effective policy and operational decisions.
- 1.4 The successful provider will provide OFSI with a better understanding of the above plus recommendations for improvement.

2. BACKGROUND TO THE CONTRACTING AUTHORITY

- 2.1 HM Treasury is the government's economic and finance ministry, maintaining control over public spending, setting the direction of the UK's economic policy and working to achieve strong and sustainable economic growth. OFSI, which forms part of HM Treasury, implements financial and other sanctions in the UK. There are currently 35 financial sanctions regimes in the UK, deriving from UN and UK designations.
- 2.2 OFSI has been operational since March 2016 and has quickly established itself as a world-leader in financial sanctions, a key area of financial, foreign and national security policy. It leads on the implementation of UN and UK financial sanctions and domestic terrorist asset freezing, providing a high-quality service to the private and charitable sectors, and guidance to help them follow the law. [REDACTED] OFSI has important partner relationships in the regulated financial services sector and is an integral part of the sanctions community worldwide.
- 2.3 OFSI's key aims are to:
 - Increase awareness and understanding of financial sanctions through targeted communications and engagement with the private and public sectors, charities and the public that facilitates compliance.
 - Maintain the credibility of financial sanctions through effective and proportionate implementation and enforcement activity.
 - Provide a professional service to stakeholders.

3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT

- 3.1 [REDACTED]

4. DEFINITIONS

Expression or Acronym	Definition
OFSI	Office of Financial Sanctions Implementation
OGD	Other Government Department
HMT	Her Majesty's Treasury
HMG	Her Majesty's Government

5. SCOPE OF REQUIREMENT

- 5.1 The requirement should give OFSI a better understanding of its data capabilities and provide recommendations for improvement. Detailed requirements for the areas below are set out in section 6.
- 5.2 We require the services of an external provider to review and provide recommendations in the following areas:
- **Data Architecture:** [REDACTED]
 - **Data Processing:** [REDACTED]
 - **Data Protection:** [REDACTED]
 - **Data Analysis:** [REDACTED]
 - **Data Tools:** Does OFSI have the right data tools? Additionally, is OFSI effectively using the tools it has?
 - **Data sharing:** [REDACTED]
 - **Data Gap analysis:** Identify where OFSI would benefit from additional/better quality data.
- 5.3 In delivering the above, of which more details are provided in section 6, the contractor will have to work together with existing teams within OFSI, but also with other OFSI suppliers.
- 5.4 Additionally, in delivering the above, the supplier will have to work within HMT's broader working principles and data architecture. [REDACTED]

6. THE REQUIREMENT

- 6.1 The requirement should give OFSI a better understanding of its data capabilities and provide recommendations for improvement.
- 6.2 The Buyer requires information on your capability to analyse the below and **provide a report on current state of play and recommendations for improvement, with a clear indication of the gap between the two and a roadmap for delivering recommendations.**
- 6.3 Recommendations should set out a specific course of options OFSI could take, including, where appropriate, providing costings and resource implications. As highlighted in section 5, all recommendations should aim to fit within HMT's broader working principles and data architecture.
- 6.4 The preferred provider shall provide state of play recommendations on the below:
- **Data architecture:** [REDACTED]
 - **Data Processing:** [REDACTED]
 - **Data Protection:** [REDACTED]
 - ⊖ **Data Analysis:** [REDACTED]
 - **Data tools:** This should look at:
 - An assessment of how effectively OFSI uses its existing tools, including recommendation for future use.
 - Recommendations on additional tools which OFSI could use.
 - ⊖ **Data Sharing:** [REDACTED]
 - **Data Gaps:** Where would OFSI benefit from receiving either more or better-quality data? [REDACTED]
- 6.5 You will need to set these findings and recommendations in a final report, but also update the buyer regularly throughout the process.
- 6.6 You will have 3 months from the start of the project to deliver your findings, recommendations and roadmap to delivery. You will have access to relevant central and OFSI teams to support you and your decision making process.
- 6.7 You will need to have SC clearance for all supplier staff and subcontractors.

7. KEY MILESTONES AND DELIVERABLES

7.1 The contractor's report setting out state of play, recommendations and roadmap for delivery across the areas set out in section 6 will lead to the following outcomes:

- **Outcome 1: Data Architecture** – OFSI has improved processes for storing, using and sharing data. OFSI understands if it has any data security risks and mitigations.
- **Outcome 2: Data Processes:** OFSI staff will improved the right skills, training and tools to input and use data. This will mean a reduction in data inputting errors.
- **Outcome 3: Data Protection:** OFSI has improved processes for handling personal data.
- **Outcome 4: Data Analysis:** Data will be more regularly used to inform operational decision. This will help OFSI to better meet its policy objectives and legislatives responsibilities.
- **Outcome 5: Data tools:** OFSI will better understand if it is optimising use of its existing tools plus have a clear sense of what additional tools it could use.
- **Outcome 6: Data Sharing:** OFSI will have a better understanding if it is maximising its opportunities to share data across government and with partner organisations.
- **Outcome 7: Data Gaps:** OFSI will understand areas in which it could receive improved data quality/volume.

The following Contract milestones/deliverables shall apply:

Milestone/Deliverable	Description	Timeframe or Delivery Date
1	Minimal weekly update meeting to contracting party (details of information required set out in section 8)	Weekly
2	Interim report setting out findings	Within week 8 of Contract Award or no later than --/--/----
3	Final reporting setting out findings, recommendations and roadmap for delivering recommendations	Within week 11 of Contract Award or no later than --/--/----
4	Run a OFSI wide data working group too keep relevant	Fortnightly

	stakeholders sighted and updated on data project's work	
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8. MANAGEMENT INFORMATION/REPORTING

8.1 We require the supplier to provide:

- Weekly updates to the contracting party which include:
 - Update on progress on the previous week, including key findings,
 - Provide an update against project plan, including forward look at both short term and long term objectives.
 - Highlight any risks to delivery of project, including the impact of risks and mitigations.
 - Keep the contractor updated on emerging recommendations
 - Update the supplier on any lessons learnt or proposed change of approach

8.2 Aside from the interim and final report, the supplier will also need to:

- Present updates to relevant programme board
- Run a OFSI wide data working group too keep relevant stakeholders sighted and updated on data project's work

9. VOLUMES

- [REDACTED]

10. CONTINUOUS IMPROVEMENT

- 10.1 The Supplier will be expected to continually improve the way in which the required services are to be delivered throughout the contract duration.
- 10.2 The Supplier should identify and present any new and beneficial ways of working to OFSI staff during review meetings.
- 10.3 Changes to the way in which the Services are to be delivered must be brought to the Buyer's attention and agreed prior to any changes being implemented.

11. SOCIAL VALUE

- 11.1 Procurement of a solution meeting the requirement as outlined above would align with the Public Services (Social Value) Act 2012 by tackling economic inequality.
- 11.2 The solution shall tackle economic inequality by supporting the development of scalable and future-proofed new methods to modernise delivery and increase productivity.
- 11.3 The supplier should refer to Procurement Policy Note (PPN) 06/20 for further guidance: <https://www.gov.uk/government/publications/procurement-policy-note-0620-taking-account-of-social-value-in-the-award-of-central-government-contracts>
- 11.4 The supplier shall meet the applicable Government Buying Standards applicable to deliverables which can be found online at: <https://www.gov.uk/government/collections/sustainable-procurement-the-government-buying-standards-gbs>

12. QUALITY

- 12.1 The specialist support provided by the successful supplier should be of a high standard with key quality outputs forming part of the delivery of the requirement. Specific quality expectations will be agreed as part of supplier mobilisation post contract award.
- 12.2 The Authority will measure the quality of the Supplier's delivery by:
- assessing whether the supplier meets the deadlines agreed for the delivery of work-products
 - assessing whether the work-products are fit for purpose and meet agreed forms and standards, providing relevant feedback where appropriate; and,
 - assessing the suitability of the advice in respect of the extent to which it engages with the commission in the relevant instruction.

13. PRICE

- 13.1 Potential Suppliers are requested to provide a rate card (both for hourly and daily rates) for work that may arise during the contract. Where possible, the rate card for this requirement should include a discount on the Supplier's standard rate card for this Lot. This rate card may be used by the Authority to pay on a

resource consumption basis, or to fix a capped fee for larger pieces of work or in respect of particular instructions.

- 13.2 All further ad hoc work is subject to requirements arising, and any costs incurred must be agreed with the Authority in writing prior to being incurred, or the Authority is not obligated to meet these costs.
- 13.3 Bids will be evaluated on a most economically advantageous tender basis.
- 13.4 Prices are to be submitted via the e-Sourcing Suite [Attachment 4 – Price Schedule excluding VAT and including all other expenses relating to Contract delivery.

14. STAFF AND CUSTOMER SERVICE

- 14.1 The Supplier shall provide a sufficient level of resource throughout the duration of the Contract in order to consistently deliver a quality service.
- 14.2 The Supplier's staff assigned to the Contract shall have the relevant qualifications, security clearances and experience to deliver the Contract to the required standard.
- 14.3 The Supplier 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.

15. SERVICE LEVELS AND PERFORMANCE

- 15.1 The supplier must meet the following service levels:
- The Supplier shall provide a sufficient level of capable resource throughout the duration of the Contract to consistently deliver a high-quality service;
 - The Supplier's staff assigned to the contract shall have the relevant qualifications and experience to deliver the contracted service to the required standard;
 - The supplier must provide an escalation point to resolve any issues with the availability of the service;
 - In the event of termination of the contract the Supplier must provide a complete copy of all data and documents held within the system in a format and timescale that is acceptable to the Buyer and which will be agreed during contract mobilisation. Once this transfer has been validated by the Buyer, the Supplier must ensure that its copies of all the data and documents are deleted.

The Buyer will measure the quality of the Supplier's delivery by:

16.

KPI/SLA	Service Area	KPI/SLA description	Target
1	Findings and recommendation	The final report should provide a detailed summary of OFSI's current capabilities plus detailed recommendations. Where applicable, recommendations should be costed and include resource implications.	100%
2	Quality	The Supplier will take an evidence based approach and will base its findings and recommendations on extensive review of current systems and engagement with OFSI staff.	100%
3	Engagement	The Supplier will work collaboratively with OFSI, HMT and other Suppliers.	100%
4	Delivery	The Supplier will deliver the final report and recommendations on a date agreed by the Authority.	100%

17. SECURITY AND CONFIDENTIALITY REQUIREMENTS

17.1 [REDACTED]

17.2 Suppliers must be able to demonstrate compliance with the [Government Security Policy Framework](#) and that they have appropriate IT, physical, personnel and procedural security measures in place to prevent any unauthorised access to, or leakage of, data collected as part of this contract, and to prevent it being shared with any unauthorised third parties. Such security measures should comply with the requirements of the ISO27001 standard as a minimum and the Buyer would wish to see evidence of that compliance, e.g., in the form of current ISO 27001 certification.

17.3 Any IT systems used by Suppliers to meet the Buyer's requirement must comply with [National Cyber Security Centre \(NCSC\)'s 10 Steps to Cyber Security](#) and with the [NCSC's Cloud Security Principles](#). The Supplier should also hold NCSC's Cyber Essentials Plus certification and provide the Buyer with evidence of this.

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- 17.4 Any IT systems that would be deployed by Suppliers to meet any part of the requirement must be subjected to periodic (at least annual) independent penetration testing and any significant vulnerabilities identified as part of the penetration testing must be remediated with timeframes agreed with the Buyer.
- 17.5 The Supplier should describe how, in order to ensure that reliance isn't placed solely on annual penetration testing to identify and address vulnerabilities, they might perform regular vulnerability scans on the component devices of the IT infrastructure and how they would ensure that any significant vulnerabilities identified by those scans are remediated as soon as possible.
- 17.6 Where any IT systems used by Suppliers to meet any part of the requirement need to generate any emails, the Supplier must be able to ensure that encryption and anti-spoofing measures can be applied to the emails which comply with the following guidance: <https://www.gov.uk/guidance/securing-government-email>
- 17.7 Suppliers are expected to demonstrate they have appropriate physical security measures in place in any premises used to store/process the Buyer's data. As above such physical security measures should comply with the requirements of ISO27001 as a minimum. Any data centres used by the Supplier to meet the Buyer's requirement must hold current ISO27001 certification and be UK based.
- 17.8 Any Supplier staff or sub-contractors should have [National Security Vetting](#) to SC level.
- 17.9 [REDACTED]
- 17.10 Suppliers shall ensure that any suspected or actual security breaches related to Buyer's data/information are reported to the Buyer immediately. Where any actual security breaches have been identified, Suppliers shall, as soon as reasonably practicable, provide to the Buyer a report setting out the details of the security breach, including an impact assessment, a root cause analysis and of the steps taken to address the breach.
- 17.11 Full compliance with the [Data Protection Act \(DPA\) 2018](#) and the General Data Protection Regulation (GDPR) is essential.

18. PAYMENT AND INVOICING

- 18.1 Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.
- 18.2 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.
- 18.3 Invoices should be submitted to: [REDACTED]



19. CONTRACT MANAGEMENT

- 19.1 The Supplier will be expected to report the Authority's Contract Manager in accordance with paragraph 8 above.
- 19.2 Attendance at contract review meetings will be at the Supplier's own expense.

20. LOCATION

- 20.1 OFSI is based primarily at 1 Horse Guards Road, London, SW1A 2HQ. The Supplier should provide a solution which can be used by OFSI and HMT staff working at other offices and working remotely in accordance with HMT guidelines.