

**DATE: 26 April 2021**

**REQUEST TO QUOTE FOR ACCESS CONTROL MANAGEMENT FRAMEWORK**

**This Request for Quotation is to be returned by the closing date of**

**12noon 14 May 2021**

**Issued by:-**

**Chief Information Security Officer**

**THE OPEN UNIVERSITY,** a body incorporated by Royal Charter (RC000391), an exempt charity in England and Wales and a registered charity in Scotland (No. SCO38302), and with its address at Walton Hall, Milton Keynes, MK7 6AA, Buckinghamshire, United Kingdom.

**FOREWORD**

The Open University is pleased to invite you to submit a quote for the assessment of current state and provision of an access control management framework.

Although every effort has been to ensure that the information is correct and complete. The Open University will not accept any responsibility for the potential supplier’s interpretation of this Request for Quotation.

Potential Suppliers should note that the information given at this stage will be subject to verification at later stages of the procurement process. If any error, omission or misrepresentation on the part of the Potential Supplier is discovered, The Open University reserves the right to disqualify the supplier from participating in the procurement process no matter what stage in the process has been reached when the error, omission or misrepresentation is discovered.

The Open University undertakes not to divulge to a third party any information it receives or the results of any evaluation it carries out, However, The University is committed to open government and to meeting its legal responsibilities under the Freedom of Information Act 2000.  The Open University is classed as a public authority under the Act. Accordingly, all information submitted to a public authority may need to be disclosed by the authority in response to a request under the Act.  An authority may also decide to include certain information in its publication scheme, which it is required to maintain under the Act.

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1. **REQUIREMENT**

The Open University is undertaking a programme of data protection and cyber security improvements. An important aspect of this involves assessing current state of access control management, to include existing silo initiatives, to assess current risk to the University and make recommendations to reduce this risk. Proposals are invited from vendors who can adopt a consistent approach across the University, and produce the deliverables noted below.

Objectives

1. Conduct a gap analysis of existing access control management, this should include the absence of Governance Risk and Control (GRC) software (to manage segregation of duties, for example), to assess current state, identifying dependencies, in consultation with key stakeholders across the University
2. Conduct a risk assessment of current state to enable prioritisation of tasks through a risk-based approach
3. Produce a report of findings, making recommendations for consolidation and improvement of existing practices as well as new initiatives to reduce risk; this should include a framework to adopt and implement best practise, a roadmap of recommended work with prioritised actions, RACI matrix, and any training requirements
4. Produce an initial high-level draft policy in line with ISO27001 standards and using Open University branding, in consultation with key stakeholders
5. Produce a paper for senior management to request funding for additional work recommended; this should adopt a risk-based approach and provide indicative timelines and costs, ensuring this fulfils the University’s GDPR and cyber security obligations, and risk appetite
6. Develop communication item(s) re access management to raise awareness among asset owners (e.g. news items, fliers)

Format

The Open University is currently working from home so all work will need to be carried out remotely. Following the initial gap analysis and risk assessment, the vendor will present a report on findings to the Chief Information Security Officer, outlining recommendations and a roadmap to reduce risk, and the rationale behind them. Once agreed, the vendor will produce an initial high-level draft policy and paper to request funding for any additional work agreed, again to be presented to the Chief Information Security officer to agree.

The vendor will be required to work closely with the Information Security Workstream Lead throughout, providing regular updates on progress and discussing findings. The vendor will be expected to reach out to a range of stakeholders across the university, including those already working on access control in silo. The over-arching aim is to ensure a consistent approach across the university to optimise access control management.

Deliverables

The vendor will provide:

* A gap analysis and review of existing access control management
* A prioritised risk assessment of current state
* A report of findings, to include recommendations, suggested framework, roadmap, RACI and identify any training requirements
* Initial high-level draft policy on access control management
* Paper to request funding for additional work agreed with the Chief Information Security Officer

The vendor will be provided with access to necessary documents and repositories.

1. **INDICATIVE TIMETABLE**

The indicative timetable is as follows:

|  |  |
| --- | --- |
| **Stage of Process** | **Date** |
| RFQ Release | Monday 26 April 2021 |
| RFQ Return Date | 12 noon: 14 May 2021 |
| Evaluation of RFQ Responses | 17-21 May 2021 |
| Clarifications | 21 May 2021 |
| Issue Intention to Award Letter | 26 May 2021 |
| Contract Start Date | 31 May 2021 |

1. **EVALUATION CRITERIA**

The OU will evaluate proposals as detailed below.

|  |  |
| --- | --- |
| **Evaluation Criteria** | **Weighting Suggested** |
| **Appendix 2 – Supplier Information completed** | **Pass/Fail** |
| Relevant Experience | 15% |
| Proposal to Deliver Specification | 40% |
| Quality of Personnel and the role of each team member servicing the Delivery of the Specification | 20% |
| Price | 25% |

1. **TERMS AND CONDITIONS**

Any purchase order arising from this RFQ shall be subject to the University’s Terms and Conditions contained in the Service Agreement (see Appendix 3). No conditions submitted by the Potential Supplier at any time will be deemed to be binding upon the Buyer or accepted in substitution.

**Data Protection**

The GDPR obligations as listed in Appendix 3, the Service Agreement in Schedule 2are applicable where No personal data transfer outside the UK is permitted and No sub-processing (third party) is permitted.

In any of the scenarios below, an alternative version of the respective Schedule 3 be required. These are available upon request. For avoidance of doubt, Standard Terms of Service Agreement shall remain unchanged, regardless of which version of Data Protection Schedule is used.

a) Service Provider inside UK. No transfer outside UK – A sub-processor is permitted but Personal Data only to be processed in UK

b) Service Provider inside UK – Sub-Processor outside UK

c) Service Provider outside UK – No Sub-processor

d) Service Provider outside UK – Sub-Processor outside UK

e) Service Provider outside UK – Sub-Processor inside UK

1. **INSTRUCTIONS FOR COMPLETION AND SUBMISSION OF THE RFQ**
   1. Submission

Electronic return only to this ITQ is to be made via the following web site:-

[**https://in-tendhost.co.uk/openuniversity**](https://in-tendhost.co.uk/openuniversity)

Please follow the instructions carefully to ensure your return is uploaded and submitted correctly. Returns made via the correspondence feature will be rejected.

If you have any issues making your return, please email Lucy.Fawcett@open.ac.uk before the given closing date and time.

Bidders should note that submissions can be made at any time up to the closing time. These submissions remain locked until a formal opening ceremony is conducted and the OU has no access to view any details of submissions until this has taken place. Although Bidders can make submissions up to the closing time, to avoid any submission issues due to for example a slow internet link, especially for large files, you are recommended not to make submissions at the very last minute

**All completed RfQ returns are to be submitted on or before the deadline for receipt of RfQs set out in the timetable above.**

Delivery by any other means is not acceptable without prior agreement, which in ANY case shall be BEFORE the closing time & date.

5.2 Clarification

Any queries relating to this RfQ must be submitted via correspondence facility in the In-tend portal at <https://in-tendhost.co.uk/openuniversity/aspx/Home>.

* 1. Completion

You are invited to submit a proposal that addresses the following as a minimum:

1. Appendix 1 – Declaration. Please sign and return with your proposal.
2. Appendix 2 – Supplier Information. Please complete and return with your proposal.
3. Details of relevant experience to the requirement.
4. A proposal to deliver the requirements detailed in the specification.
5. Details of the personnel, their relevant experience and the role of each team member servicing the delivery of the specification
6. Full Cost Breakdown – to detail the following as a minimum:-

* A fixed price detailing the activity breakdown and the assumptions for the project
* A rate card including named personnel, job title and day rate(s)

**APPENDIX 1**

**DECLARATION**

I/we have read and understood the information provided in this Request for Quotation and subject to the terms and conditions contained herein offer to supply and install the goods/services thus described in such a manner as may be required.

I/We agree to bear the costs incurred by me/us in connection with the preparation and submission of this proposal and to bear further costs incurred by me/us prior to any award of contract.

I/We agree that the minimum timeframe during which the potential supplier must maintain its proposal is 90 days from the proposal deadline

I/we understand that false information could result in my/our exclusion from participating in the procurement process no matter what stage in the process has been reached when the error, omission or misrepresentation is discovered.

Date:-

Signed:-

In the capacity of:-

Duly authorised to sign proposals for and on behalf of:-

(By completing and submitting this document you are deemed to be authorised to do so on behalf of your organisation and this document will be legally binding)

**APPENDIX 2**

**SUPPLIER INFORMATION**

**THIS SECTION MUST BE COMPLETED. PLEASE NOTE THAT FAILURE TO SUBMIT SATISFACTORY RESPONSES TO ALL QUESTIONS IN THIS SECTION MAY RESULT IN YOUR REMOVAL FROM THE RFQ PROCESS.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **COMPANY DETAILS** | | | | |
| 1 | | Company Name | |  |
| 2 | | Registered Office Address | |  |
| 3 | | Address for correspondence if different from A2 | |  |
| 4 | | Contact name and e-mail address | |  |
| 5 | | Telephone | |  |
| 6 | | Company web URL | |  |
| 7 | | Date of formation and registration if different from each other, state country of registration. | |  |
| 8 | | Company Registration number | |  |
| **FINANCIAL AND ECONOMIC STANDING** | | | | |
| 9 | | Please warrant that none of the following circumstances set out in Article 20 of EU Directive 92/50/EEC applies to your Company:  [item (a)] is bankrupt or is being wound up, whose affairs are being administered by the court, who has entered into an arrangement with creditors, who has suspended business activities or who is in any analogous situation arising from a similar procedure under national laws and regulations  [item (b)] is the subject of proceedings for a declaration of bankruptcy, for an order for compulsory winding-up or administration by the court or for an arrangement with creditors or of any other similar proceedings under national laws or regulations  Please note that a credit search may be used as part of The Open University’s evaluation. | | [item (a)]  Does apply ☐  Does not apply ☐  [item (b)]  Does apply ☐  Does not apply ☐ |
| **EQUALITY, DIVERSITY & CORPORATE SOCIAL RESPONSIBILITY** | | | | |
| We are creating an inclusive university community and a society where people are treated with dignity and respect, where inequalities are challenged, and where we anticipate and respond positively to different needs and circumstances so that everyone can achieve their potential. We are committed to preventing discrimination or exclusion based on individual characteristics and experiences, such as age; disability; caring and dependency responsibilities; gender reassignment; marriage or civil partnership status; political opinion; pregnancy and maternity; race; religion or belief; sex; sexual orientation; socio-economic background; trade union membership status or other distinctions. We expect commitment and involvement from our partners and providers of goods and services in working towards the achievement of our vision. In addition to equality law, there are a number of employment laws, and other laws that you should comply with.  **PLEASE CONFIRM THAT YOU COMPLY WITH THE ACTS LISTED BELOW** | | | | |
| 10 | | Is it your policy to comply with the requirements of the Equality Act 2010 and other equality law in the UK, and/or the equality law in any countries in which you operate? (Please provide a copy of your written policy) | | Yes ☐  No ☐ |
| 11 | | EU General Data Protection Regulation (GDPR) | | Yes ☐  No ☐ |
| 12 | | The National Minimum Wage (Amendment) Regulations 2019 | | Yes ☐  No ☐ |
| 13 | | Employment Protection (Consolidation) Act 1978 and amendments, Employment Rights Act 1996 | | Yes ☐  No ☐ |
| 14 | | Working time Directive 2003 | | Yes ☐  No ☐ |
| 15 | | Asylum and Immigration Act 1996 | | Yes ☐  No ☐ |
| 16 | | Bribery Act 2010 | | Yes ☐  No ☐ |
| 17 | | The University has a Public Sector Equality Duty which requires us to have due regard to eliminate unlawful discrimination, advance equality of opportunity and foster good relations between people who share protected characteristics and those who do not. If you provide goods or deliver services on behalf of the University, we will expect you to meet this duty where it is relevant to the contract. Further information about the duty is available at [**http://www.equalityhumanrights.com/advice-and-guidance/public-sector-equality-duty/introduction-to-the-equality-duty/**](http://www.equalityhumanrights.com/advice-and-guidance/public-sector-equality-duty/introduction-to-the-equality-duty/)**.**  Is it your intention to comply with this requirement? | | Yes ☐  No ☐ |
| 18 | | In the past 3 years, has your organisation been the subject to any finding of unlawful discrimination in any court or employment tribunal, or been the subject of any investigation or criticism by any equality commission or other public investigation body?  If yes, please provide details, including the action you have taken to prevent reoccurrence. | | No ☐  Yes ☐ please provide details |
| 19 | | The University’s equality vision and principles are set out in our Equality Scheme and we expect the commitment and involvement of our partners and providers of goods and services in working towards the achievement of the vision and adherence to our principles. The Equality Scheme is available at [**http://www.open.ac.uk/equality-diversity/**](http://www.open.ac.uk/equality-diversity/)**.**  Do you subscribe to the vision and principles of the University’s equality scheme? | | Yes ☐  No ☐ |
| 20 | | The Open University does not condone the exploitation of child labour. You must confirm that you have taken all reasonable steps to ensure that any part of your supply chain does not in any way exploit children. | | Yes ☐  No ☐ |
| 21 | | Please detail any direct relationship with the Open University that any Director or Senior member of the company has with the any department or member of the Open University | | No ☐  Yes ☐ please provide details |
| **22. MODERN SLAVERY ACT 2015: REQUIREMENTS UNDER MODERN SLAVERY ACT 2015** | | | | |
| **22.1** | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | | | ☐ Yes  ☐ N/A |
| **22.2** | If you have answered yes to question 22.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | | | ☐ Yes  Please provide the relevant url  ☐ No  Please provide an explanation |
| **22.3** | If you have answered N/A to question 22.1 please explain if you still have any safeguards in place to eradicate modern slavery in your supply chains and what these are. | | |  |
| **23** | | **EXPERIENCE OF SUPPLY** | | |
| **It is essential that potential suppliers wishing to enter the procurement process have similar capabilities to supply. Please give details of two customers:-**  *(The Open University may elect to contact any of the organisations below for a reference at any stage of this procurement process. The permission of the company will be assumed unless you state any objections. It should be noted that availability of referees and their input will form part of The Open University’s evaluation.* | | | | |
| Customer Name:  Contact Name:  Address:  Telephone Number:  Email: | | |  | |
| Customer Name:  Contact Name:  Address:  Telephone Number:  Email: | | |  | |

**APPENDIX 3**

Services Agreement (to be signed post award) attached.