

# FRAMEWORK SCHEDULE 2: GOODS AND SERVICES AND KEY PERFORMANCE INDICATORS

## PART A: GOODS AND SERVICES

### LOT 4 – RECORDS INFORMATION MANAGEMENT SERVICES

#### 1 INTRODUCTION

- 1.1 Crown Commercial Service (CCS) (the “Authority”) is seeking to establish a Framework Agreement for the provision of a Records Information Management Service for all UK Central Government Departments and the Wider Public Sector Organisations (“Contracting Authorities”).
- 1.2 A list of Contracting Authorities obligated to adhere to the Public Records Act 1958 or The National Archives guidance when transferring Record(s) to The National Archives or approved Place of Deposit are detailed within the link below:  
<http://www.legislation.gov.uk/ukpga/Eliz2/6-7/51/schedule/FIRST>
- 1.3 Contracting Authorities not obligated to adhere to the Public Records Act 1958 when transferring Record(s) to The National Archives or approved Place of Deposit are eligible to use this Lot 4 Service.
- 1.4 This Framework Agreement will be managed by the Authority and Call Off Contracts will be managed by Contracting Authorities.
- 1.5 The duration of the RM3781 Framework Agreement for Lot 4 is four (4) years (48 months), with a maximum Call Off Contract period of seven (7) years (84 months).
- 1.6 The purpose of Lot 4 is to appoint a number of Supplier’s who shall be responsible for the provision of a Records Information Management Service via Further Competition between the successful Suppliers and Contracting Authorities.
- 1.7 Lot 4 is to appoint a number of Suppliers, a maximum of four (4), who shall be responsible for the provision of a Records Information Management Service through the following six (6) Service lines:-
- Service Line 1 - Off-Site Records Information Management Service (full End to End Service);
  - Service Line 2 - Off-Site Storage of Inactive Records;
  - Service Line 3 - Off-Site and/or On-Site Secure Shredding, Destruction and Disposal Services;
  - Service Line 4 - Off-Site and/or On-Site Specialist Records Management Services;
  - Service Line 5 - Off-Site and/or On-Site combined Records Information Management Services;
  - Service Line 6 - Off-Site and/or On-Site Scanning Services.
- 1.8 The Supplier shall provide all aspects of the requirements for this Lot 4 as set out in this Framework Schedule 2.

- 1.9 The Supplier shall provide all six (6) Service Lines or a combination of the six (6) Service Lines to Contracting Authorities as part of a Records Information Management Service as specified by Contracting authorities at the Call Off stage (i.e. Service Lines 1 – 5 may be provided in isolation or as part of an End to End service).
- 1.10 The Supplier shall provide Off-Site and/ or On-Site Scanning Services to Contracting Authorities only when forming part of an End to End service i.e. Scanning Services will not be provided in isolation.
- 1.11 The Authority placed a Prior Information Notice 2015/S 241-437566 which was published on 12/12/2015 (the PIN notice) in the Official Journal of the European Union (OJEU).
- 1.12 This procurement has been advertised by publishing a Contract Notice in the OJEU under the Open procedure in accordance with the Public Contracts Regulations 2015 (the “Regulations”).

## **2 SCOPE OF THE REQUIREMENT**

- 2.1 The purpose of Lot 4 – Records Information Management Service is designed to meet the core requirements of Contracting Authorities, as detailed below in order to drive down costs of Physical Storage and consolidate and rationalise existing Contracting Authorities Storage requirements.
- 2.2 The core requirements of the Records Information Management Service are to provide all Services included in the following 6 Service lines:
  - Service Line 1 - Off-Site Records Information Management Service (full End to End Service);
  - Service Line 2 - Off-Site storage of Inactive Records;
  - Service Line 3 - Off-Site and/or On-Site Secure Shredding, Destruction and Disposal Services;
  - Service Line 4 - Off-Site and/or On-Site Specialist Records Management Services: cataloguing, listing, Appraisal and Selection, triage sensitivity review and file preparation services;
  - Service Line 5 - Off-Site and/or On-Site combined Records Information Management Services; and
  - Service Line 6 - Off-Site and/or On-Site Scanning Services.
- 2.3 The Supplier shall be capable of providing all aspects of the requirements as set out in this Framework Schedule 2 for Lot 4, and shall do so by providing:
  - secure storage and access to Records at the Call Off stage;
  - sound and pro-active Account Management to Contracting Authorities;
  - accurate and periodical reporting to the Authority and Contracting Authorities; and
  - reporting of contractual activity against savings delivered in line with the Authorities savings objectives, base lining and benchmarking processes.
- 2.4 The Supplier shall support the Authority through this Framework Agreement by promoting a fully electronic Records Information Management System to Contracting Authorities that shall allow:

- efficient management of physical and digital Information, in line with the Government's digital by default agenda;
- Contracting Authorities to meet ongoing physical Storage demands;
- the separation of 'Active' and 'Inactive' Records to improve the management of Inactive Records resulting in more competitive storage costs;
- Scanning Services to be provided in line with the Government's digital by default agenda;
- combined On-Site and Off-Site Records Information Management Services to be provided where a planned move to a fully Off-Site Records Information Management Service is a defined strategic objective;
- shredding, Destruction and Disposal of Records in line with the Government's environmental and waste policies; and
- compliance with the National Archives Gateway process, where required.

2.5 The Supplier shall provide all Services relating to the management of Contracting Authorities' hard copy Records and the physical to digital process in line with the Government's broader 'digital by default' strategy, and shall ensure that:

- Government Records are stored appropriately and made available when needed;
- Government Records can be accessed in the most economical manner;
- Records can be interpreted;
- Government Records can be maintained through time in accordance with stated retention and Disposal policies;
- Government Records are stored securely;
- Government Records are Retained and disposed of appropriately;
- Supplier Personnel are skilled and experienced.

## 2.6 Out of Scope

2.6.1 Fully On-Site Records Information Management Services are out of scope for this Lot 4 and the Supplier shall only provide an Off-Site and/or On-Site combined Records Information Management Service to Contracting Authorities.

2.6.2 Service Line 6 – Off-Site and/ or On-Site Scanning Services cannot be provided in isolation under the scope of this Lot 4.

## 3 SERVICE LINE 1 MANDATORY REQUIREMENTS – OFF-SITE RECORDS INFORMATION MANAGEMENT SERVICE

This section provides details of the mandatory requirements for Service Line 1 only - Off-Site Records Information Management Service **in addition to section 9** of this Framework Schedule 2, that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

3.1 The Supplier shall provide a UK wide Off-Site facility for the Physical Storage of Records utilising the Supplier's own premises.

3.2 The core requirements of Service Line 1 includes all the mandatory requirements as set out in section 9 of this Framework Schedule 2, and the requirements specified by Contracting Authorities at the Call Off stage.

#### **4 SERVICE LINE 2 MANDATORY REQUIREMENTS – OFF-SITE STORAGE OF INACTIVE RECORDS**

This section provides details of the mandatory requirements for Service Line 2 – Off-Site Storage of Inactive Records requirements Service **in addition to section 9** of this Framework Schedule 2, that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

- 4.1 The Supplier shall provide a UK Off-Site physical storage facility utilising the Suppliers own premises, for storage of Records identified as Inactive until the identified destruction date
- 4.2 The core requirements of Service Line 2 – Off-Site Storage of Inactive Records includes but may not be limited to the mandatory requirements as set out in section 9 of this Framework Schedule 2 and the requirements specified by Contracting Authorities at the Call Off stage.
- 4.3 The Supplier shall manage Records identified as Inactive in line with the Contracting Authorities' requirements, ensuring that Records are stored in an effective Archived Storage facility with appropriate levels of security and environmental conditions that delivers value for money.

#### **5 SERVICE LINE 3 MANDATORY REQUIREMENTS – OFF-SITE AND/OR ON-SITE SECURE SHREDDING, DESTRUCTION AND DISPOSAL SERVICES**

This section provides details of the mandatory Off-Site and/or On-Site Secure Shredding, Destruction and Disposal Services requirements Service **in addition to section 9** of this Framework Schedule 2, that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

- 5.1 The core requirement of Service Line 3 is for the provision of a UK wide Off-Site and/or On-Site secure shredding, Destruction and Disposal Service utilising the Supplier's own premises (including Sub-Contractor premises) or the Contracting Authorities premises.
- 5.2 A key objective of this Service Line 3 is to ensure that Government's protectively marked waste is disposed of securely in line with Government guidelines therefore Suppliers must comply with this requirement as detailed in paragraph 5.7.
- 5.3 The Supplier acknowledges and agrees that security compliance is a key priority of this Lot 4.
- 5.4 The Supplier shall provide a scalable service that ranges from managing complex high volume and high capacity offices through to remote small satellite offices. The Supplier shall ensure that a consistent level of service for both On-Site and/or Off-Site document Destruction services is delivered, capturing the maximum amount of waste for recycling possible, with no cost impact to Contracting Authorities.
- 5.5 The Supplier shall manage the process of securely collecting, shredding and the Destruction and Disposal of protectively marked waste with the aim of undertaking this requirement based upon a lowest mile, lowest CO2 emissions and cost efficient basis.
- 5.6 The Supplier shall provide the Off-Site and/or On-Site shredding, Destruction and Disposal service via a monthly collection on the basis of a monthly service charge, which shall be inclusive of all costs, including minimum surcharge, associated with the provision of Services for Service Line 3, unless otherwise specified by Contracting Authorities at the Call Off stage.

5.7 The Supplier shall comply with the following Service Levels:

5.7.1 Service Level 1 – non-confidential un-shredded or pre-shredded paper waste, Destruction and Disposal services.

5.7.1.1 The Supplier shall collect non-confidential and un/pre-shredded waste from a pre-agreed collection point (e.g. 1100 litre container) and shall transport it directly to a hub or distribution centre for baling.

5.7.2 Service Level 2 – confidential waste: Off-Site shredding, Destruction and Disposal services

5.7.2.1 The Supplier shall ensure waste that is intended for Off-Site Destruction is stored in secure lockable consoles (e.g. 120/170 litre) and is collected by the Supplier. The Supplier shall ensure that Consumables are replaced upon collection.

5.7.2.2 The Supplier shall ensure waste that is intended for Off-Site Destruction is stored in lockable bins (e.g. 120/240/360 litre) or a suitable equivalent and where appropriate in sacks (e.g. 15 or 20 Kg sacks), prior to collection by the Supplier.

5.7.2.3 The Supplier shall collect containers, consoles and sacks from their location(s) within a Contracting Authorities premises. The Supplier shall be aware that containers, consoles and sacks are not transported to “goods-in” / reception areas unless otherwise specified by Contracting Authorities.

5.7.2.4 The Supplier shall return the emptied bins to their allocated location within the Contracting Authorities premises, prior to their departure.

5.7.2.5 The Supplier shall be capable of ensuring the security of the confidential waste paper, from collection to Destruction and recycling.

5.7.2.6 The Supplier shall be aware of the distinct service requirements in existence in relation to Off-Site destruction:

a) Bin swap

- The Supplier shall remove the lockable container and replaced it by an empty one before the collection vehicle leaves the premises.

b) Decanting

- The Supplier shall transfer the waste from the lockable console or sack into a secure container/console on the vehicle for transportation Off-Site.
- The Supplier must provide a waste transfer certificate after each collection of documents, signed by the Contracting Authorities Personnel On-Site prior to departure, which lists the number and type of containers/consoles collected.
- The Supplier shall provide a certificate of Destruction for each collection made, cross referencing the transaction number, the number of types of containers/consoles, and the name of the authorised person that has witnessed the destruction.

5.7.3 Service Level 3 – confidential waste: On-Site shredding, Destruction and Disposal services

- 5.7.3.1 The Supplier shall be responsible for the collection of confidential waste from the specified containers, consoles and sacks as specified by Contracting Authorities at the Call Off stage.
- 5.7.3.2 The Supplier shall ensure that once collected, confidential waste must be taken directly to the designated shredding and recycling centre, and destroyed within one working day.
- 5.7.3.3 The Supplier shall ensure that security arrangements of Contracting Authorities for additional secure management of paper waste shall include On-Site shredding performed in secure vehicles at the Contracting Authorities own Site(s).
- 5.7.3.4 The Supplier shall agree resource requirements with Contracting Authorities at the Call Off stage.
- 5.7.3.5 The Supplier shall provide a certificate of Destruction must be provided after each collection of waste paper has been destroyed, specifying who has witnessed the Destruction and the weight of Material destroyed.
- 5.7.3.6 The Supplier shall be capable of ensuring the security of confidential waste paper, from collection to Destruction and recycling.
- 5.7.4 Service Level 4: bespoke shredding, Destruction and Disposal requirements
  - 5.7.4.1 The Supplier shall ensure document Destruction of extensive archived Material and premises with specific and specialist security requirements (e.g. prisons) when requested by Contracting Authorities at the Call Off stage.
- 5.8 The Supplier shall provide all materials and Consumables associated with the provision of this service as required by the Contracting Authorities at the Call Off stage.
- 5.9 The Supplier shall provide, deliver and install any equipment required to deliver the Services and shall provide ongoing support for this equipment.
- 5.10 The Supplier shall agree the security marking and Service Level required will be determined by the Contracting Authorities at the Call Off stage.
- 5.11 The Supplier shall have infrastructure in place to provide all Service Levels across the UK, including remote locations in Scotland, Wales and Northern Ireland.
- 5.12 The Supplier shall ensure that the shredded and collected waste is recycled in line with the requirements specified by Contracting Authorities at the Call Off stage.
- 5.13 The Supplier must operate to the EN 15713:2009 (E) process standard for both On-Site and Off-Site document destruction, and this must be fully incorporated within ISO 9001:2008 approved quality management process.
- 5.14 The Supplier shall work with the Authority to identify options for extending the service for other waste streams, including value for money and efficiencies.
- 5.15 The Supplier shall recognise that the quality of waste received from Contracting Authorities is varied and can contain contaminants such as plastic and sticky labels.
- 5.16 The Supplier shall ensure that the quantity of waste is weighed accurately for charging and reporting purposes.
- 5.17 The Supplier shall work to specific operating hours as set within the Contracting Authorities Service Level requirements at no additional cost.
- 5.18 The Supplier shall ensure that all operational Personnel on vehicles, working within the operational recycling centres shall be identifiable and carry photographic identification.

5.19 The Supplier shall ensure that vehicles have GPS-tracking and mobile communication links with their operational bases.

5.20 The Supplier shall work closely with Contracting Authorities and/or their designated representative to ensure that the Contracting Authorities overall service requirements are fully understood and met.

**5.21 SECURITY (in addition to Section 10)**

5.21.1 The Supplier shall ensure the secure collection and transportation, for Service line 3 (using appropriately secure vehicles) storage, removal and Disposal of all confidential materials, in order that that the materials remain in the Supplier's possession and are not capable of being deciphered.

5.21.2 The Supplier shall ensure that confidential waste is signed for by the nominated Supplier Personnel at the point of collection and placed in secure vehicles which must not be left unattended at any time.

5.21.3 The Supplier must ensure the secure transport of waste from the premises at all times.

5.21.4 The Supplier shall ensure a seamless transition from Contracting Authorities existing secure document Destruction arrangements as specified by Contracting Authorities at the Call Off stage.

**5.22 ENVIRONMENTAL STANDARDS (in addition to Section 12)**

5.22.1 The Supplier shall provide environmental certificates and accreditations for Service line 3 as part of the audit process for mixed recycled fibre goods and the waste paper management collection process as specified by Contracting Authorities at the Call Off stage.

**6 SERVICE LINE 4 MANDATORY REQUIREMENTS – OFF SITE AND/OR ON SITE SPECIALIST RECORDS MANAGEMENT SERVICES**

This section provides details of the mandatory Off-Site and/or On-Site Specialist Records Management Service requirements **in addition to section 9** of this Framework Schedule 2, that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

6.1 The Public Records Act required Central Government departments, and certain other Contracting Authorities, to identify Record(s) of historical value using the services stated under this Service Line 4 and transfer them for Permanent Preservation to The National Archives, or to another approved Place of Deposit, by the time they are 30 years old. The Government is reducing this timeframe from 30 to 20 years. This is a major change and one that is being introduced in a manageable and affordable way, using a phased approach. The first phase began in 2013 and applied to the Government departments and other Contracting Authorities that transfer records to The National Archives. It also applies to Contracting Authorities that are Places of Deposit for their own Record(s). Two years' worth of government Record(s) will be transferred to TNA each year until 2022. From 1 January 2015, transition to the new rule began for Records of specified Contracting Authorities transferring Records to local places of deposit. Records within this category are primarily of local interest and include those created by Magistrates' courts and the NHS. Further information on identifying Records of historical value in line with the Public Records Act can be found at the link below:

<http://www.nationalarchives.gov.uk/information-management/manage-information/selection-and-transfer/>

Suppliers shall be aware that this Framework Schedule 2 Service Line 4 has been designed to support this process and Contracting Authorities commitment to transfer Record(s) in line with The Public Records Act.

6.2 The core requirement of Service Line 4 is the provision of the following:

- Listing, Cataloguing, Appraisal and Selection, Triage Sensitivity Review and Record preparation Services
- Provision of experienced and qualified Supplier Personnel who shall identify information of historical importance within Record(s) being considered for Permanent preservation by government organisations under the Public Records Act
- Provision of Supplier Personnel with the appropriate security clearance, as specified by Contracting Authorities at the Call Off stage
- Provision of Consumable items as set out in Annex 3 of this Framework Schedule 2.

6.3 The Supplier shall ensure that it has the operational capacity and capability to provide the requirements of this Service Line 4 to numerous Contracting Authorities at any one time.

6.4 The Supplier shall provide Contracting Authorities with an On-Site and Off-Site Specialist Records Management Service within the agreed working hours.

6.5 The standard working hours are specified as eight (8) hours, with a thirty (30) minute lunch break, for a full day and four (4) hours for a half day, unless otherwise specified by Contracting Authorities.

6.6 The National Archives is the keeper of public Record(s) is responsible for co-ordinating and supervising the Specialist Records Management process under the Public Records Act 1958. Further information can be found at The National Archives' Records collection policy document as set out in the link below:

<http://www.nationalarchives.gov.uk/documents/records-collection-policy-2012.pdf>

## 6.7 INDUCTION

6.7.1 The Supplier shall attend an induction event(s) provided by Contracting Authorities in order to undertake Specialist Records Management Service.

6.7.2 The Supplier Personnel in attendance at the induction event shall ensure they are in receipt of all information required and fully understand the Contracting Authorities requirements in order to conduct each of the Specialist Records Management Services at the end of the induction event(s).

6.7.3 The scope and frequency of the Induction event(s) shall be specified by the Contracting Authorities at Call Off stage but as a minimum shall be 0.5 days in total

### 6.7.4 Listing Service Induction

6.7.4.1 The Listing Service induction shall be in relation to the following criteria as a minimum, unless otherwise specified by Contracting Authorities at Call Off stage:

- Determining Title assignment to a Record
- Description(s) of Record(s) in line with The National Archives' Editorial Guidelines as set out in 6.8.1.3



- Use of abbreviation, capitalisation and acronyms
- Expansion and disambiguation of a Record Title
- Ensure the metadata extracted from the Record(s) conforms to the information standards stated by the Contracting Authorities within its Call Off stage
- Roles and responsibilities of the Supplier and Contracting Authorities when undertaking the Listing service
- Review and explanation of Contracting Authorities guidance documentation on Listing service which the Supplier shall abide by
- Review and explanation of the requirement(s) and standard(s) stated within Framework Schedule 2, to deliver the Listing service.

### **6.7.5 Cataloguing Service Induction**

6.7.5.1 The Cataloguing Service induction shall be in relation to the following criteria, unless otherwise specified by Contracting Authorities, at Call Off stage:

- Roles and responsibilities of the Supplier and Contracting Authorities when undertaking the Cataloguing service
- Review and explanation of Contracting Authorities guidance documentation on Cataloguing which the Supplier shall abide by
- Review and explanation of the requirement(s) and standard(s) stated within this Framework Schedule 2, to deliver the Cataloguing service.
- Details of the information to be extracted from Record(s)
- Compliance with The National Archives' Cataloguing conventional Record(s)
- Compliance with the Contracting Authorities own Cataloguing Service criteria

### **6.7.6 Appraisal and Selection Service Induction**

6.7.6.1 The Appraisal and Selection Service induction shall be in relation to the following criteria as a minimum, unless otherwise specified by Contracting Authorities at Call Off stage:

- i. Roles and responsibilities of the Supplier and Contracting Authorities
- ii. Review and explanation of Contracting Authorities guidance documentation on Appraisal and Selection the Supplier shall abide by (if applicable)
- iii. Review and explanation of Contracting Authorities guidance documentation on Appraisal and Selection which the Supplier shall abide by
- iv. Review and explanation of the requirement(s) and standard(s) stated within Framework Schedule 2, to deliver the Appraisal and Selection service
- v. Type(s) of Record(s) to be reviewed
- vi. Details of the Selection Criteria to be used in line with all Appraisal and Selection criteria and policies, as set out in 6.8.3.13
- vii. Details of the Contracting Authorities own Selection Criteria (in addition to The National Archives' Generic Selection Criteria)
- viii. Type(s) of information that may be considered of historical value and therefore considered being held by The National Archives for Permanent Preservation

- ix. Type(s) of information that may be considered of historical value but shall be held within an approved Place of Deposit rather than Permanent Preservation at The National Archives, and how the Departmental Records Officer liaises with The National Archives to determine the Place of Deposit
- x. Type(s) of information that may require the Record(s) to be Retained within the Contracting Authorities department due to its sensitive content
- xi. Types of information that are not considered to be appropriate under ix, and/or x, but shall be required to be held, including the length of time, by the Contracting Authorities due to ongoing business requirements
- xii. Type(s) of information that are not considered appropriate under ix, x, and/or xi, but which would support a Record(s) being destroyed, and how to undertake this in line with the Contracting Authorities 'What to keep' policy
- xiii. Contracting Authorities contact(s) for requirement(s) such as, but not limited to: guidance, clarification of matter(s), advice on completion of documentation and/or report(s)
- xiv. Guidance on when and under what circumstances a Dip Sample may be undertaken
- xv. Access to the Contracting Authorities Civil Service Year Books relevant to the time period of the Record(s) being Appraised and Selected

#### **6.7.7 Triage Sensitivity Review Service Induction**

6.7.7.1 The Triage Sensitivity Review induction shall be in relation to the following criteria as a minimum, unless otherwise specified by Contracting Authorities at Call Off stage:

- i. Roles and responsibilities of the Supplier and Contracting Authorities when undertaking the Sensitivity Review Service
- ii. Review and explanation of Contracting Authorities guidance documentation on Sensitivity Review which the Supplier shall abide by
- iii. Review and explanation of the requirement(s) and standard(s) as stated within this Framework Schedule 2, to deliver the Sensitivity Review Service
- iv. Contracting Authorities relevant contact(s) for requirement(s) such as: guidance, clarification of matter(s) and advice on completion of documentation and/or report(s)
- v. Type(s) and nature of Record(s) to be reviewed
- vi. Type(s) of potentially Sensitive information to be considered, trigger word(s), phrase(s) and subject matter(s)
- vii. Type(s) of potentially Sensitive information that may require Redacting from the Record(s)
- viii. Type(s) of information that may be considered of historical value and therefore transferred to The National Archives
- ix. Type(s) of information that may result in a Record(s) being considered Closed, Partially, Closed and/ or Retained and how to apply the Record(s) Closure date(s)
- x. Indication of FOI Exemption(s) that may and/or may not apply

#### **6.7.8 Record Preparation Service Induction**

6.7.8.1 The Record Preparation Service induction shall be in relation to the following criteria as a minimum, unless otherwise specified by Contracting Authorities:

- Roles and responsibilities of the Supplier and Contracting Authorities when undertaking the Record Preparation Service
- Review and explanation of Contracting Authorities guidance documentation on Record Preparation which the Supplier shall abide by
- Review and explanation of the requirement(s) and standard(s) as stated within this Framework Schedule 2, to deliver the Record Preparation Service.
- Compliance with the preparing Record(s) for transfer to The National Archives as set out on in the following link:  
<http://www.nationalarchives.gov.uk/information-management/manage-information/selection-and-transfer/cataloguing-and-preparation-of-records/physically-preparing-records/>
- Compliance with the Contracting Authorities own Record Preparation Service criteria
- Information regarding the Contracting Authorities alternative Place of Deposit

## 6.8 SPECIALIST RECORDS MANAGEMENT SERVICE

### 6.8.1 Listing Service

6.8.1.1 The Supplier shall provide a Listing Service which shall be the process of transcribing and inputting information from a Record into a list which shall then be transposed into a catalogue template as set out in the link below, in addition to the following activities, unless otherwise stated by the Contracting Authorities.

- Cataloguing all incoming new Material to required standards
- Re-cataloguing Material for any item moved within the library
- Maintaining and updating existing catalogue Record(s)
- Serial tracings and modification of subfields
- Adding journal/serial Record(s) and creating hyperlinks
- Standardising catalogue Record(s)
- Retrospective Cataloguing of material

[http://www.nationalarchives.gov.uk/documents/information-management/cat\\_excel\\_template.xls](http://www.nationalarchives.gov.uk/documents/information-management/cat_excel_template.xls)

6.8.1.2 The Supplier shall undertake all Listing services in accordance with the requirements specified by Contracting Authorities at the Call Off stage, unless otherwise stated, shall include but is not be limited to:

- Type and number of Record(s) requiring Listing
- Information to be extracted and detailed within Listing
- Timescale for project(s) start and completion
- Area(s) for completion within the catalogue template (not all areas are required to be completed during the Listing process)

6.8.1.3 The Supplier shall provide a Listing Service in accordance with The National Archives Editorial Guidelines, as set out in the link below, unless otherwise specified by Contracting Authorities at the Call Off stage, which shall include but may not be limited to:

- use of capitalisation (upper and lower case)
- expansion and/or disambiguation of Record Title – for example ‘Inspection of Rome’ would become ‘Inspection of the British Embassy in Rome’
- abbreviation and acronyms for example, France: ‘@British Broadcasting Corporation French language programming’ would become ‘France: BBC French language programming’ rules for punctuation
- input of Dates - for example 1 January 2016 and not 01 January 2016

<http://www.nationalarchives.gov.uk/documents/information-management/editorial-guidelines-final-version-1.1.pdf>

6.8.1.4 The Supplier shall provide a Listing Service in accordance with the standards and conventions of the Contracting Authorities designated Place of Deposit. Details of those requirements will be provided by the Contracting Authorities at Call Off stage.

6.8.1.5 The Supplier shall input all information required to be extracted from the Contracting Authorities Record(s) into The National Archives’ Excel catalogue Template document, unless otherwise stated by the Contracting Authorities at Call Off stage. The National Archives catalogue Template and respective guidance documents are set out in the links below:

- <http://www.nationalarchives.gov.uk/documents/information-management/cataloguing-guidance.pdf>
- [http://www.nationalarchives.gov.uk/documents/information-management/cat\\_excel\\_template.xls](http://www.nationalarchives.gov.uk/documents/information-management/cat_excel_template.xls)

## 6.8.2 Cataloguing Services

6.8.2.1 The Supplier shall provide a Cataloguing service which shall be the process of extracting information from a specific Record and/or bringing a Listing up to a specific standard, determining a description for that Record from which metadata can then be searched later using descriptions and Titles within those catalogues, unless otherwise specified by the Contracting Authorities at Call Off stage:

6.8.2.2 The Supplier shall undertake Cataloguing services in accordance with the requirements specified by Contracting Authorities at the Call Off stage, unless otherwise stated shall include, but may not be limited to:

- Record name
- Record date range (e.g. first date and late date)
- Record subject matter
- Record closure description (e.g. open, Closed, no FOI Exemptions and FOI Exemptions apply)
- Timescale for project start and completion

6.8.2.3 The Supplier shall provide a Cataloguing Service in accordance with The National Archives’ Cataloguing Conventional Records policy, which sets out ‘how to’ catalogue information in line with the standards required, unless otherwise specified by Contracting Authorities at the Call Off stage. The National Archives’ Cataloguing Conventional Records policy is set out in the link below:

<http://www.nationalarchives.gov.uk/documents/information-management/cataloguing-guidance.pdf>

- 6.8.2.4 The Supplier shall provide a Cataloguing Service in accordance with the requirements of the Contracting Authorities' designated Place of Deposit, details of which shall be specified by the Contracting Authorities at the Call Off stage.
- 6.8.2.5 The Supplier shall input all information required to be extracted from the Contracting Authorities' Record(s) into The National Archives Excel Review Cataloguing template, unless otherwise stated by the Contracting Authorities at Call Off stage. The Excel Review Cataloguing template is set out in 6.8.1.5 above.

### **6.8.3 Appraisal and Selection Services**

- 6.8.3.1 The Supplier shall provide an Appraisal and Selection service which shall be the process of distinguishing paper Record(s) of continuing historical value from those of no further value.
- 6.8.3.2 The Supplier shall understand Record(s) can possess different types or degrees of value to a public Record(s) body and this affects how Record(s) are managed and how long they need to be kept and the process of 'Appraisal' allows government departments and agencies to understand which Record(s) are likely to have continuing historical value and should therefore be Permanently Preserved.
- 6.8.3.3 The Supplier shall understand that 'Selection' is a decision-making process that encompasses initial Appraisal judgements and determines which Record(s) will be selected for Permanent Preservation. The process of selecting Record(s) is primarily focussed on determining which Record(s) are of historical value.
- 6.8.3.4 The Supplier shall be able to undertake all of the five (5) Appraisal and Selection processes, and also a mixture of those processes as set out in paragraph(s) 6.8.4, 6.8.5, 6.8.6, 6.8.7, 6.8.8.
- 6.8.3.5 The Supplier shall undertake the Appraisal and Selection Service in accordance with the requirements specified by the Contracting Authorities at the Call Off stage unless otherwise stated shall include, but is not limited to:
- the Contracting Authorities internal department or business area(s) whose Record(s) are to be reviewed under the Appraisal and Selection process;
  - type of Record(s) to be appraised (for example but not limited to subject matter);
  - range of Record(s) to be appraised (for example but not limited to date(s));
  - the Appraisal and Selection process to be used
  - details of the subject matter(s) of the Record(s) and detail(s) of the criteria which would make the Record(s) of historical value and therefore Selection for Permanent Preservation.
  - the start and completion date for each Appraisal and Selection project to be undertaken;
  - the Selection Criteria to be used
  - the documentation required to be drafted for submission of reports for review and approval for Selection for Permanent Preservation by the Contracting Authorities Departmental Records Officer (for example Appraisal Report, Series-level Questionnaire and catalogue template)
  - details of activities to be undertaken in the event the Record(s) is rejected for submission by The National Archives; and

- details of activities to be undertaken in the event the Record(s) is rejected Permanent Preservation.
- 6.8.3.6 The Supplier shall work with and report to the Contracting Authorities' Departmental Records Officer to understand the volume and range of Record(s), time plan and process for Appraisal and Selection to be undertaken as set out in:
- <http://www.nationalarchives.gov.uk/documents/information-management/best-practice-guide-appraising-and-selecting.pdf>
- 6.8.3.7 **Generic requirements for Appraisal and Selection processes**
- 6.8.3.8 The Supplier shall consider all generic criteria set out below when undertaking any one of the five Appraisal and Selection processes.
- 6.8.3.9 The Supplier shall understand the purpose of the Appraisal and Selection processes is to identify one of the following outcomes:
- Records containing historical information to be held in Permanent Preservation by The National Archives
  - Record(s) containing historical information to be held in Permanent Preservation at an approved Place of Deposit
- 6.8.3.10 The Supplier shall consider the information of potential historical importance against each of the paragraphs within this section 6.8.3.9 when undertaking each of the Appraisal and Selection processes.
- 6.8.3.11 The Supplier shall consider and adhere to the Contracting Authorities 'What to keep policy' in order to determine which Record(s) to keep and which to destroy in the event an Appraisal and Selection has been undertaken and resulted in the Record not selected for Permanent Preservation.
- 6.8.3.12 The Supplier shall be provided with a copy of the Contracting Authorities' 'What to keep policy' documentation shall be provided to the Supplier at Call Off stage.
- 6.8.3.13 **The Supplier shall consider the following Selection Criteria and policies:**
- 6.8.3.13.1 The National Archives' Generic Selection Criteria as set out in
- <http://www.nationalarchives.gov.uk/documents/information-management/best-practice-guide-appraising-and-selecting.pdf>
- 6.8.3.13.2 Contracting Authorities own Selection Criteria which will be stated at Call Off stage Illustrations of the type and nature of the criteria are but are not limited to:
- information detailing the formulation of strategy and/or decision making when government department(s) introduce new policies and/or amend or pass new legislation; and
  - notes and decision(s) from specific Ministerial board meeting(s)
  - information relating to international relations within specific countries and/or organisations
- 6.8.3.13.3 Contracting Authorities Operational Selection policies - the Supplier shall refer to, and consider any Operational Selection Policy (OSP) Contracting Authorities consider to be appropriate to the Record(s) being appraised, in order to determine if the content of the OSP provides sufficient information as a comparison to

determine of the Record(s) is of historical importance and therefore required for Permanent Preservation.

For further information refer to the OSP by subject, as set out in the link below:

<http://www.nationalarchives.gov.uk/information-management/manage-information/selection-and-transfer/selecting-records/osp-subject/>

6.8.3.14 The Supplier shall consider and consult with the Contracting Authorities Civil Service Year Book(s) when conducting each Appraisal and Selection process in order to establish the Contracting Authorities current and previous year's departmental structure (including business function(s) which sit under it i.e. finance, policy, human resources etc. within the its organisation per year.

6.8.3.15 The Supplier shall agree a Terms of Reference with Contracting Authorities Departmental Records Officer prior to the start of each Appraisal and Selection project it requires to be undertaken and ensure that the Terms of Reference fully reflect Contracting Authorities stated objectives.

6.8.3.16 The Supplier shall be responsible for obtaining additional information requested following submission of findings and recommendation reports to the Contracting Authorities, and will be responsible for any redrafting and resubmitting of reporting documentation such as, but not limited to: Appraisal report, Service Level Appraisal Questionnaire and catalogue template.

#### **6.8.4 Appraisal and Selection Process – Macro level Appraisal of Record(s)**

6.8.4.1 The Supplier shall be able to undertake and deliver a Macro level Appraisal of the Contracting Authorities Record(s) at the following levels, using the specified Selection Criteria as set out in paragraph 6.8.3.13 at the following levels as a minimum:

- every Record held within the Contracting Authorities Records Archive; and
- a mixture of Record(s) across a number of business function(s)

6.8.4.2 The Supplier shall understand the Contracting Authorities interpretation of a Macro Appraisal is but is not limited to: Undertaking an Appraisal of Record(s) (at either Departmental and/or Series-level) within a the Contracting Authorities business function(s) between a certain time period(s), be able to describe the subject matter of the business function and appraise Record(s) are of historical importance, identify those that are not and those that require further Appraisal technique(s) to be undertaken. This shall allow the Supplier the ability to identify which Record(s) contain historical information and where required, continue the process for Selecting Record(s) for Permanent Preservation as set out in 6.8.5.5 Departmental, Series and Record Title level Appraisal and Selection processes, when instructed by the Contracting Authorities.

6.8.4.3 The Supplier shall undertake a Dip Sample to test whether the content of the Record(s) matches the Appraisal undertaken at Departmental and/or Series-level. The Dip sample will also assist in determining whether a Record Title and/or Page-by-Page review is required to be undertaken in the event it is not possible to determine which Record(s) are of historical importance, unless otherwise stated by Contracting Authorities.

6.8.4.4 The Supplier shall receive instruction(s) from Contracting Authorities within its Specification of Requirements at Call Off stage as to when:

- a Macro level Appraisal shall be required to be undertaken by the Supplier; and

- and shall state the scope, format and frequency of reporting its finding(s) to Contracting Authorities prior to undertaking any further Appraisal and Selection activity.

6.8.4.5 The Supplier shall be aware that the Contracting Authorities will state the process, format and timeline for reporting its finding(s) and recommendation(s) at Call Off stage.

#### **6.8.5 Appraisal and Selection Process – Record-level Appraisal of Record(s)**

6.8.5.1 The Supplier shall be able to undertake and deliver a Record-level Appraisal of the Contracting Authorities Record(s) using the specified Selection Criteria as set out in paragraph 6.8.3.13.

6.8.5.2 The Supplier shall be aware that Contracting Authorities interpretation of a Record-level Appraisal will differ but shall include: Undertaking an Appraisal of Record(s) at Record Title level within a business function(s) from and to a certain time period(s), be able to describe and determine the Subject Matter of the Contracting Authorities business function(s) and appraise exactly what Record(s) are of historical importance, and identify those that are not. Where Record(s) are considered to be of historic importance, continue the process for Selecting Record(s) for Permanent Preservation as set out in paragraph 6.8.5.5 Departmental, Series and Record Title level Appraisal and Selection processes (including Record-by-Record review), when instructed by the Contracting Authorities.

6.8.5.3 The Supplier shall receive clear instruction(s) from Contracting Authorities within its Specification of Requirements at Call Off stage as to when:

- a Record-level Appraisal shall be required to be undertaken;
- further Appraisal(s) are required, for example but not limited to Series, Record Title Record-by-Record review; and
- shall state the scope, format and frequency of reporting its finding(s) to the Contracting Authorities prior to undertaking any further Appraisal and Selection activity;
- re-filing Record(s) which are not considered to be of historical importance within the Contracting Authorities Record(s) Archive and/or disposing of the Record(s) are required.

6.8.5.4 The Supplier shall be aware that the Contracting Authorities will state the process, format and timeline for reporting its finding(s) and recommendation(s) at Call Off stage.

#### **6.8.5.5 Departmental, Series and Record Title level Appraisal and Selection processes**

6.8.5.5.1 The Supplier, having undertaken the services stated within paragraphs 6.8.4 and/or to paragraph 6.8.5 shall undertake one [1] of the three [3] Appraisal and Selection processes as set out in paragraphs 6.8.6, 6.8.7 and 6.8.8 below, unless otherwise stated by the Contracting Authorities at Call Off stage.

6.8.5.5.2 The Supplier, in the event a Macro or Record-by-Record Appraisal has been undertaken and Contracting Authorities has requested further Appraisal process(s) be undertaken, shall be able to conduct a Departmental, Series and Record Title level process.



6.8.5.5.3 Contracting Authorities reserve the right to request the Supplier undertake a combination of the Appraisal processes during the review of the same set of Record(s). Example combinations are, but is not limited to:

- Departmental Appraisal followed by Series-level Appraisal;
- Departmental Appraisal followed by both Series-level and Record Title level Appraisal(s);
- Series-level followed by Record Title level Appraisal

## 6.8.6 Appraisal and Selection Process – Departmental

6.8.6.1 The Supplier shall agree the terms of reference as set out in 6.8.3.15 above for each individual Departmental Appraisal project which shall as a minimum:

- The range of Record(s) to be appraised;
- Details of the subject matter of the Record(s);
- Whether the Appraisal shall be undertaken via Departmental only;
- Whether the Departmental Appraisal shall be followed by a Series, Record Title and/or Record-by-Record review, or a mixture.

6.8.6.2 The Supplier shall be able to undertake a Departmental Appraisal of Record(s) in order to identify information of historic importance based on Contracting Authorities criteria as set out in paragraph 6.7 and 6.8.3.13, and any subsequent information provided by Contracting Authorities prior to each Appraisal and Selection project commencing.

6.8.6.3 The Supplier, having undertaken the Appraisal, shall determine which Record(s) should be selected for Permanent Preservation. The Supplier shall review the Record(s) it considers having potential for Permanent Preservation against the Selection Criteria as set out in paragraph 6.8.3.13 and all induction information as set out in paragraph 6.7. The Supplier shall determine whether the content identified as potentially of historic importance falls into one or some of the criteria and make recommendation(s) as to whether or not the Record(s) shall be permanently preserved.

### 6.8.6.4 Reporting finding(s) following Departments Appraisal and Selection procedure

6.8.6.4.1 The Supplier shall complete The National Archives' document named Appraisal Report and shall provide a full audit of the decision-making activity undertaken, and subsequent finding(s) per Record, unless otherwise stated by the Contracting Authorities at Call Off stage.

6.8.6.4.2 The Supplier shall submit the Appraisal Report to the Contracting Authorities Departmental Records Officer whereby a review of the content shall be completed by the Departmental Records Officer and subsequently submitting directly to The National Archives. The content, scope and frequency regarding completion of the Appraisal report shall be stated by Contracting Authorities at Call Off stage. Further information on how to compile The National Archives Appraisal report refer to The National Archives document How to compile an Appraisal Report set out in the link below. Where reference to activities required by 'department's is made within this document, for the purposes of this framework tender they shall be required to be undertaken by the Supplier.

<http://www.nationalarchives.gov.uk/documents/information-management/how-to-compile-an-appraisal-report.pdf>

6.8.6.4.3 The Supplier, in the event The National Archives queries and/or rejects the Appraisal Report submission(s) (for example, insufficient information to justify the decision), shall be responsible for obtaining any additional information required in the event the Supplier is required to re-draft and re-submit the Appraisal Report to the Contracting Authorities Departmental Records Officer within the required timescale(s).

## **6.8.7 Appraisal and Selection Process – Series-level**

6.8.7.1 The Supplier shall be able to undertake a Series-level Appraisal of Record(s) in order to identify information of historic importance based on Contracting Authorities criteria as set out in paragraph(s) 6.7 and 6.8.3.13 and any subsequent information provided by Contracting Authorities prior to each individual Appraisal and Selection project commencing.

6.8.7.2 The Supplier shall be provided with instruction(s) from Contracting Authorities at the start of each Series-level Appraisal project stating which method(s) shall initially be used and at what stage. The scope, format and frequency of the instruction(s) shall be stated by Contracting Authorities at Call Off stage.

### **6.8.7.3 Initial Series-level review**

6.8.7.3.1 The Supplier shall undertake an initial Series-level review of the Record(s) Series to establish as a minimum the Contracting Authorities business function historical value and context of the Record(s), in order to determine and recommend to the Contracting Authorities Departmental Records Officer how the Record(s) within each Series shall be appraised.

6.8.7.3.2 The Supplier shall detail the outcome of its recommendation(s) to Contracting Authorities by providing the required response(s) to all questions stated within The National Archives Series-level Appraisal Questionnaire (SLAQ), unless otherwise stated by the Contracting Authorities.

6.8.7.3.3 The Supplier shall consider the Record(s) within the Series, in conjunction with the required Selection Criteria, to identify and recommend as a minimum, unless otherwise stated by the Contracting Authorities:

- whether all Record(s) within the Series may be Selected for Permanent Preservation;
- if the full Series cannot be Selected, identify if and where more in-depth Appraisal Review(s) is required and how it may be undertaken i.e. further Appraisal techniques;
- if none of the Series are considered to be of historical importance and therefore not appropriate for Permanent Preservation; and
- obtain the information required in order to respond to all questions stated within The National Archives SLAQ.

6.8.7.3.4 The Supplier shall identify if the following decision(s) can be made at Series-level, in line with The National Archives method(s) for

consideration for Selection, unless otherwise stated by Contracting Authorities:

- All of the Series can be selected: When all, or most of the Record(s) in the Series are considered to be of historical importance and appropriate for Permanent Preservation, a decision shall be made to select the whole Series.
- None of the Series can be selected: When the Record(s) have been considered by the Supplier to be of little or no historical importance, a decision shall be made not to select the Series.
- Part of the Series can be selected: Where a part of a Series (i.e. a number of Record(s)) are considered to be of historical importance a decision shall be made to select that part. Where the remaining Record(s) are considered to be of no historical importance, Contracting Authorities shall advise the Supplier of whether they shall either remain with Contracting Authorities and/or be destroyed.

6.8.7.3.5 The Supplier shall, when undertaking 'Part of the Series can be selected' method stated in paragraph 6.8.7.3.4 above, shall recommend one of the following, unless otherwise stated by the Contracting Authorities:

- The part of the Series Selected shall be taken at Series-level only and therefore does not require any further Appraisal service(s) to be undertaken; or
- The part of the Series Selected requires further Appraisal service(s) to be undertaken for example but not limited to Record Title and/ or File-by-File review.

#### 6.8.7.3.6 **Compilation and submission of SLAQ**

6.8.7.3.6.1 The Supplier shall, following completion of the initial review, complete The National Archives Series-level Appraisal Questionnaire (SLAQ) as set out in the link below in order to detail the finding(s) and recommendation(s) for the most appropriate method of Appraisal to be undertaken, unless otherwise stated by Contracting Authorities at Call Off stage competition. Examples of the type(s) of information to be determined by the Supplier within the SLAQ are, but are not limited to:

- where all of the Series is recommended to be Selected for Permanent Preservation, therefore no further Appraisal is required to be undertaken;
- if further Appraisal of the Record(s) is required to be undertaken, and state which Appraisal method(s) is recommended. For example, but not limited to Record Title review, Record-by-Record review or Mixed Appraisal method(s); and
- providing reason(s) for proposal.

<http://www.nationalarchives.gov.uk/documents/information-management/series-level-appraisal-questionnaire-final-version.pdf>

6.8.7.3.6.2 The Supplier shall submit the completed SLAQ to the Contracting Authorities Departmental Records Officer within the required

timescale(s) stating one or some of the following recommendation(s) unless otherwise stated by Contracting Authorities at Call Off stage. The Contracting Authorities Departmental Records Officer shall Review the content prior to submitting to The National Archives The National Archives will then decide if the submission is accepted for Permanent Preservation or to be Retained by the Contracting Authorities and stored within a Place of Deposit.

6.8.7.3.6.3 The Supplier shall be responsible for obtaining any additional information requested by Contracting Authorities and/or The National Archives, re-drafting and resubmitting the Series-level Appraisal questionnaire to the Departmental Records Officer within the required timescale, in the event The National Archives queries the SLAQ submission (for example, insufficient information to justify the decision).

6.8.7.3.6.4 The Supplier shall be informed by the Contracting Authorities Departmental Records Officer as to which element(s) of the SLAQ have been approved by The National Archives, timescale(s) to be stated by Contracting Authorities at Call Off stage. The Supplier shall then conduct a Series-level Appraisal of the required Record(s) in conjunction with the following:

- Appraisal method(s) stated by Contracting Authorities to be conducted as set out in paragraph(s) 6.8.7.4.2 and 6.8.7.4.3;
- Selection Criteria as set out in paragraph 6.8.3.13; and
- Start and end time for the Appraisal project to be undertaken.

#### **6.8.7.4 Conducting the Series-level Appraisal and Selection process**

6.8.7.4.1 The Supplier shall appraise the Record(s) in line with the information provided by Contracting Authorities at the Induction event as set out in paragraph 6.7 and any further instruction provided prior to the Appraisal and Selection project commencing.

6.8.7.4.2 The Supplier, having undertaken the Appraisal, shall determine which Record(s) should be selected for Permanent Preservation. The Supplier shall review the Record(s) it considers potential for Permanent Preservation against Selection Criteria as set out in paragraph 6.8.3.13. The Supplier shall determine whether the content identified as potentially of having historical importance falls into one or some of the criteria and make recommendation(s) as to whether or not the Record(s) shall be Permanently Preserved.

6.8.7.4.3 In the event a Selection cannot be made a Series-level; the Supplier shall undertake a further Appraisal at Record Title level following receipt of formal written instruction from Contracting Authorities.

6.8.7.4.4 For example, but not limited to: Series-level Appraisal undertaken using Selection Criteria and where the Supplier determines no decision can be made, informs Contracting Authorities which will decide whether to:

- re-appraise the Record(s) using amended Selection Criteria; or
- instruct the Supplier to undertake a Record Title, Record-by-Record and/or Mixed Appraisal review.

#### 6.8.7.5 **Reporting findings following the Series-level Appraisal and Selection procedure.**

6.8.7.5.1 The Supplier shall provide a report of its recommendation(s) to Contracting Authorities detailing a full audit of decision making activity undertaken, the scope, frequency and timescale shall be stated by Contracting Authorities at Call Off stage but shall contain as a minimum, but is not limited to:

- List of Record(s) from within the Series which contain information of historical importance.
- Description of the historical information contained within each Record.
- Detail(s) of The National Archives Generic Selection Criteria that applies to each Record.
- List of the Appraisal procedures undertaken i.e. Series-level followed by Record Title level.

#### 6.8.8 **Appraisal and Selection Process – Record Title level (also known as Record Title Appraisal)**

6.8.8.1 The Supplier shall be able to determine, by Record Title level Review, which Record(s) to select for Permanent Preservation and shall receive a Specification of Requirement(s) from Contracting Authorities at Call Off stage detailing the type and range of Record(s) requiring Appraisal and Selection services.

6.8.8.2 The Supplier shall be able to undertake a Record Title level Appraisal of Record(s) in order to identify information of historic importance based on the Contracting Authorities criteria as set out in paragraph(s) 6.7 and 6.8.3.13 and any subsequent information provided by Contracting Authorities prior to each Appraisal and Selection project commencing. Instances of when a Record Title Review may be undertaken are, but are not limited to:

- Where there is a mixture of Record types within a Series
- Where little or nothing is known about a Record Series
- Where Record Titling is limited (stating for example, but not limited to: 'Miscellaneous' and/or 'General')

For further information refer to the Best Practice Guide to Appraising and Selecting Record(s) for The National Archives at the link below:

<http://www.nationalarchives.gov.uk/documents/information-management/best-practice-guide-appraising-and-selecting.pdf>

6.8.8.3 The Supplier shall be provided with instruction(s) from the Contracting Authorities at the start of each Record Title Appraisal project stating which method(s) shall initially be used and at what stage. The scope, format and frequency of the instruction(s) shall be stated by Contracting Authorities at Call Off stage. For example, but not limited to: Record Title undertaken using Selection Criteria and where the Supplier determines no decision can be made, informs Contracting Authorities which will decide whether to:

- re-appraise the Record(s) using amended Selection Criteria; or
- instruct the Supplier to undertake a Record-by-Record review.

- 6.8.8.4 The Supplier shall undertake the Record-by-Record method only, following completion of one or all of the above processes, and/or formal instruction from Contracting Authorities prior to commencement of Record-by-Record method. The scope, format and frequency of the instruction(s) shall be stated by Contracting Authorities at Call Off stage.
- 6.8.8.5 The Supplier shall appraise the Record(s) in line with the information provided by the Contracting Authorities at the induction event(s) as set out in paragraph 6.7 and any further instruction provided prior to the Appraisal and Selection project commencing.
- 6.8.8.6 The Supplier shall be able to appraise the proposed Record(s) in accordance with one, some or all of The National Archives File Appraisal four (4) different methods of Appraising at Record Title level, as set out below. The National Archives Record Appraisal four [4] different methods (also known as File Appraisal) are:
1. Mixed Series Appraisal: A Series of Record(s) contains either or a mixture of Policy and Case Records which shall be separated and both appraised in line with the Selection Criteria as set out in paragraph 6.8.3.13. All Case Record(s) shall be also be appraised in line with Operational Selection Policy 48 as set out in the link below. Policy Record(s) shall also be Appraised using the Series-level approach (as stated within 6.8.7 above) (for example but not limited to, if they cover the development of Primary Legislation a decision shall be made to select them all) or using one of the Appraisal methods (Departmental, Series and Record Title review).
  2. Selection Criteria and Record Title Appraisal: An Appraisal of the Record(s) shall take place using the Selection Criteria set out in paragraph 6.8.3.13 above, and shall be compared against the Record Title(s) in order to Select Record(s) for Permanent Preservation.
  3. Sift and Record Appraisal: An Appraisal shall be conducted initially on Record Title, and using the Selection Criteria set out in paragraph 6.8.3.13 above, Select Record(s) of historical importance (for example, Record(s) of a key committee and/or management board) or should not be Selected (for example, a publication). The remaining Record(s) are then subjected to the -Record-by-Record Appraisal.
  4. Record-by-Record Appraisal: Each individual Record shall be appraised by reviewing the content -Record-by-Record in conjunction with the Selection Criteria set out in paragraph 6.8.3.13 above. For further information refer to as File Appraisal within the Best Practice Guide to Appraising and Selecting Record(s) for The National Archives at the link below:

<http://www.nationalarchives.gov.uk/documents/information-management/osp48.pdf>

- 6.8.8.7 The Supplier, having undertaken the Appraisal, shall determine which Record(s) should be selected for Permanent Preservation. The Supplier shall review the Record(s) it considers potential for Permanent Preservation against the Selection Criteria as set out in paragraph 6.8.3.13.1 and all Induction information as set out in paragraph 6.7. The Supplier shall determine whether the content identified as potentially of having historic importance falls into one or some of the

criteria and make recommendation(s) as to whether or not the Record(s) shall be Permanently Preserved.

For further information refer to The National Archives' Generic Record(s) Selection Criteria as set out in the link below:

<http://www.nationalarchives.gov.uk/documents/information-management/best-practice-guide-appraising-and-selecting.pdf>

6.8.8.8 The Supplier, having undertaken the Appraisal, shall determine which Record(s) should be selected for Permanent Preservation. The Supplier shall review the Record(s) it considers potential for Permanent Preservation against the Selection Criteria as set out in paragraph 6.8.3.13 and all induction information in paragraph 6.7. The Supplier shall determine whether the content identified as potentially of having historical importance falls into one or some of the criteria and make recommendation(s) as to whether or not the Record(s) shall be Permanently Preserved.

**6.8.8.9 Reporting finding(s) following Record Title Review Appraisal and Selection procedure**

6.8.8.9.1 The Supplier shall complete The National Archives document named catalogue template per Record which shall contain a full audit of the decision making activity undertaken, and subsequent finding(s) per Record, and submit the catalogue template to the Contracting Authorities Departmental Records Officer whereby a Review of the content shall be completed prior to submission to The National Archives, unless otherwise stated by Contracting Authorities at Call Off stage. The content, scope and frequency regarding completion of the catalogue template shall be stated by Contracting Authorities at Call Off stage.

6.8.8.9.2 The Supplier shall be responsible for obtaining the additional information required, re-drafting and re-submitting the cataloguing template to the Contracting Authorities Departmental Records Officer within the required timescale in line with requirement set out in paragraph 6.13.2; in the event The National Archives queries the cataloguing template submission (for example but not limited to, insufficient information to justify the decision).

**6.8.9 Triage Sensitivity Review**

6.8.9.1 The Supplier shall provide a Triage Sensitivity Review Service as Contracting Authorities want to retain all decision-making responsibilities, unless otherwise advised. Contracting Authorities reserve the right to undertake some or all aspects of the Triage Sensitivity Review Service.

6.8.9.2 The Supplier shall conduct the Triage Sensitivity Review service in line with The National Archives Step 3: Sensitivity Reviews of selected Record(s) guidance as set out in the link below:

<http://www.nationalarchives.gov.uk/information-management/manage-information/selection-and-transfer/sensitivity-Reviews-on-selected-records/>

6.8.9.3 The Supplier shall refer to the process map for the Triage Sensitivity Review Service, as set out in Annex 2 of this Framework Schedule 2. The process map provide an indicative outline of the process flows which shall be used by the Supplier when considering and identifying Sensitive information.

#### **6.8.9.4 Triage Sensitivity Review Induction**

- 6.8.9.4.1 The Supplier shall attend an induction event provided by Contracting Authorities in order to undertake a Triage Sensitivity Review Service.
- 6.8.9.4.2 The Supplier Personnel in attendance at the induction event shall ensure they are in receipt of all information required and fully understand the Contracting Authorities requirements in order to conduct the Triage Sensitivity Review Service at the end of the induction event(s).
- 6.8.9.4.3 The Triage Sensitivity Review induction shall only be in relation to the following criteria, unless otherwise specified by Contracting Authorities:
- Roles and responsibilities of the Supplier and Contracting Authorities when undertaking the Sensitivity Review Service
  - Review and explanation of Contracting Authorities guidance documentation on Sensitivity Review which the Supplier shall abide by
  - Review and explanation of the requirement(s) and standard(s) stated within Framework Schedule 2, to deliver the Sensitivity Review Service
  - Type(s) and nature of Record(s) to be reviewed
  - Type(s) of potentially Sensitive information to be considered, trigger word(s), phrase(s) and Subject Matter(s)
  - Type(s) of potentially Sensitive information that may require Redacting from the Record(s)
  - Type(s) of information that may be considered of historical value and therefore transferred to The National Archives
  - Type(s) of information that may result in a Record(s) being considered Closed, Partially, Closed and/ or Retained and how to apply the Record(s) Closure date(s)
  - Indication of FOI Exemption(s) that may and/or may not apply
  - Contracting Authorities relevant contact(s) for requirement(s) such as: guidance, clarification of matter(s) and advice on completion of documentation and/or report(s)
- 6.8.9.4.4 The scope and frequency of the induction event(s) shall be specified by Contracting Authorities at the Call Off stage but as a minimum shall be 0.5 days in total.

#### **6.8.9.5 Triage Sensitivity Review Service**

- 6.8.9.5.1 The Supplier shall follow instructions on the Record(s) to be Triage Sensitivity Reviewed, as specified by Contracting Authorities at the Triage Sensitivity Review induction and/or the start of each individual project. The instructions shall include, but shall not be limited to:
- Whether Record(s) shall be Reviewed either via Title or Page-by-page procedure
  - Subject matter(s) of the Record(s)



- Contracting Authorities Guidance document on Sensitive information detailing potential Sensitive information such as, but is not limited to name(s), addresses, date(s) of birth, trigger word(s) and/or phrases to consider

#### 6.8.9.5.2 Title procedure

6.8.9.5.2.1 The Supplier shall Review the Title of each Record in conjunction with Contracting Authorities' Sensitivity Review guidance which shall include, but shall not be limited to: security classification of Record(s); name(s), addresses date(s) of birth, trigger words/phrases etc. all information provided by the Contracting Authorities at its Supplier induction event(s), and the Freedom Of Information Act (FOI).

#### 6.8.9.5.3 Page-by-page procedure

6.8.9.5.3.1 The Supplier shall Review each page of the Record(s) in conjunction with Contracting Authorities' Sensitivity Review guidance which shall include, but is not limited to: name(s), addresses, date(s) of birth, trigger word/phrases, Freedom of Information Act, Data Protection Act 1998 all other information provided by the Contracting Authorities at its Supplier induction event(s).

### 6.8.9.6 Determining Sensitive Information

6.8.9.6.1 The Supplier shall Review Record(s) when conducting a review for a Triage Sensitivity Review Service in line with: Contracting Authorities Sensitivity Review guidance, Freedom of Information (FOI) Act, The National Archives guidance and all other information provided to the Supplier by Contracting Authorities during the Sensitivity Review induction, as set out in paragraph 6.7.

6.8.9.6.2 The Supplier shall, as a minimum, consider three (3) main area(s) when determining whether or not the information contained within the Record(s) is Sensitive, unless otherwise specified by Contracting Authorities. These areas are:

- Personal information (including sensitive personal information) – this includes but is not limited to: name, address, date of birth, national insurance number, race, nationality and religious beliefs, as set out in paragraphs 6.8.9.9.2.1 and 6.8.9.9.2.2.
- Security and intelligence – this includes but is not limited to information matters of national and/or international security
- International relations - this includes but is not limited to identifying Material that may have the potential to damage the United Kingdom's relationships with other states or could prejudice the government's interests abroad.

6.8.9.6.3 The Supplier shall determine whether information within each Record is deemed Sensitive and whether Exemption(s) may be applied to protect this information by undertaking the following activities, unless otherwise specified by Contracting Authorities:

- Reviewing Record Title(s) to determine if the content may contain Sensitive information
- Scrutinising Record(s) content Page-by-Page and identifying area(s) containing Sensitive information

- Determining whether information contained within the Record(s) is deemed Sensitive as per Contracting Authorities Sensitivity Review guidance and instructions during induction event(s), as set out in paragraph 6.7.
- Considering legal provisions e.g. Freedom of Information Act and Data Protection Act 1998 and Environmental Information Regulations (EIR) in conjunction with each Record(s) being Reviewed and the information it contains
- Preparing and submitting a Supplier Sensitivity Report to Contracting Authorities Senior Sensitivity Reviewer (SSR), detailing finding(s) of each Record(s) Reviewed and recommendation(s) for consideration by the Senior Sensitivity Reviewer.

#### 6.8.9.7 Determining Record(s) status during Sensitivity Review

- 6.8.9.7.1 The Supplier shall be conscious of the information contained in each Record whilst undertaking all stages of the Sensitivity Review process in order to assess and determine the status of each Record at the end of the Sensitivity Review process, unless otherwise stated by Contracting Authorities.
- 6.8.9.7.2 The Supplier shall consider the following information and processes in order to determine Record status:
- Potential Exemption(s) under the Freedom on Information (FOI) Act;
  - Potential Exception(s) under Environmental Information Regulations 2004 EIR
  - Retention of Record(s) within the Contacting Authorities department
  - Closure of Record(s)
  - Identifying information requiring Redaction and Retention Service(s)

#### 6.8.9.8 Points of law and guidance

- 6.8.9.8.1 The Supplier shall be fully aware and conversant with the content and legal principles of the Data Protection Act 1998 (DPA), in particular the principles which support Exemption(s) from release of information under Section 40 FOI Act as set out in the link below:

<http://www.legislation.gov.uk/ukpga/1998/29/contents>

- 6.8.9.8.2 The Supplier shall be fully aware and conversant with The National Archives guidance on Access to Public Records as set out in the link below:

<http://www.nationalarchives.gov.uk/information-management/manage-information/selection-and-transfer/sensitivity-reviews-on-selected-records/access-to-public-records/>

- 6.8.9.8.3 The Supplier shall consider the following points of law and/or guidance to determine if the information it has identified, and then

deemed Sensitive, is subject to Exemption(s), and on what grounds any legal provision(s) apply, if any:

- legal provision(s) most notably within Freedom of Information Act (FOI) section 21-44 (as set out in the link below under Summary of FOI Act Exemption(s) within The National Archives- Access to Public Records document)  
<http://www.nationalarchives.gov.uk/documents/information-management/access-to-public-records.pdf>
- Data Protection Act 1998 (DPA) principles
- legal provision(s) within Environmental Information Regulations 2004 Exception(s) 12 (3), 12 (5) and 13 (as set out in The National Archives- Access to Public Records document) Information Exemption(s) (Exception(s)) in the Environmental Information Regulations within
- Statute Bars, Section 44 of the FOI Act Prohibitions on Disclosure (applicable Statutes shall be specified by Contracting Authorities at the Call Off stage (as set out in Summary of FOI Act Exemption(s) within The National Archives- Access to Public Records document)
- Criteria for Retaining Record(s) under the Public Record(s) Act 1958, Section 3 (4)
- Contracting Authorities internal Sensitivity Review guidance
- Contracting Authorities departmental security and/ or Data protection guidance
- ad hoc guidance specific to this project provided by Contracting Authorities Senior Sensitivity Reviewer (or equivalent)

6.8.9.8.4 The Supplier shall report all findings, for the Triage Sensitivity Review Service, to the Senior Sensitivity Reviewer within the Supplier Sensitivity Reports, as set out in section 5 of this Framework Schedule 2.

#### **6.8.9.9 Potential Exemption(s) under the Freedom of Information (FOI) Act**

6.8.9.9.1 Exemptions under Section 21-44 of the FOI Act

6.8.9.9.1.1 The Supplier shall consider the Sensitive information within each Record against the FOI Exemption(s) within section 21-44 and identify which (if any) of the sections support withholding information under either a specific, or a number of, FOI Exemption(s). Full details of the FOI Exemption(s) available are set out within The National Archives – Access to public Record(s) document within 6.8.9.8.3 above.

6.8.9.9.1.2 The Supplier shall determine the following information where Exemption(s) under the FOI Act (Section 21-44) support withholding some or all of the Sensitive information contained within the Record:

- Prepare justification and recommendation(s) for application of FOI Exemption(s)
- Duration period for how long the Exemption(s) shall apply, as set out in paragraph 6.8.9.13.6
- Review of Record status as set out in paragraph 6.8.9.13.7

6.8.9.9.2 Exemption(s) under Section 40 Personal information of the FOI Act

6.8.9.9.2.1 The Supplier shall determine whether Record(s) containing personal information about an identifiable living individual falls within the Data Protection Act 1998 definition of Sensitive personal Data. Examples of which include, but shall not be limited to:

- racial or ethnic origin of the Data subject,
- political opinions,
- religious beliefs or other beliefs of a similar nature,
- membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992),
- physical or mental health or condition,
- sexual life,
- the commission or alleged commission by him of any offence, or
- any proceedings for any offence committed or alleged to have been committed by him, the Disposal of such proceedings or the sentence of any court in such proceedings.

6.8.9.9.2.2 The Supplier shall receive specific and detailed guidance from Contracting Authorities on the type of personal information to be reviewed, and refer to further guidance on Personal and Sensitive information as set out in the links:

<http://www.legislation.gov.uk/ukpga/1998/29/section/1>

<http://www.legislation.gov.uk/ukpga/1998/29/section/2>

6.8.9.9.2.3 The Supplier shall apply the stated requirements in paragraph 6.8.9.9.2.2 in conjunction with the Information Commissioner's guidance (as set out in the link below) against the content and context of Record(s) on a case by case basis and detail the findings within the Supplier Sensitivity Report.

<https://ico.org.uk/for-organisations/guide-to-freedom-of-information/>

6.8.9.9.2.4 The Supplier shall consider the Sensitive information contained within the Record(s) in line with the Exemption(s) within section 40 (2) and identify which (if any) of the section(s) support withholding the information.

6.8.9.9.2.5 The Supplier shall consider the Exemption(s) under section 40 (2) Personal information where the Sensitive information is supported by the recommendation to withhold under Personal information of the FOI Act section 40 and the applicant is a third party of the FOI Act.

6.8.9.9.2.6 The Supplier shall consider these Exemption(s) in line with the Sensitive information contained within the Record and determine which of the Exemptions apply.

6.8.9.9.2.7 The Supplier shall consider these findings against the eight [8] Data Protection principles as set out below and determine which one supports the recommendation for withholding the Sensitive information:

8 Data Protection principles

- 1 Personal information must be fairly and lawfully processed
- 2 Personal information must be processed for limited purposes

- 3 Personal information must be adequate, relevant and not excessive
- 4 Personal information must be accurate and up to date
- 5 Personal information must not be kept for longer than is necessary
- 6 Personal information must be processed in line with the Data subjects' rights
- 7 Personal information must be secure
- 8 Personal information must not be transferred to other countries without adequate protection

6.8.9.9.2.8 The Supplier shall determine the following information where Exemptions under FOI 21-44 support the argument to withhold some or all the Sensitive information contained within the Record:

- Duration period for how long the Exemption(s) shall apply as set out in paragraph 6.8.9.13.6.
- Record status as set out in paragraph 6.8.9.13.7

6.8.9.9.2.9 In the event none of the Data Protection principles support the argument to withhold the Sensitive information contained within the Record, the Supplier shall undertake the process stated within paragraphs 6.10.3 and detail all information within the Supplier Sensitivity Report.

6.8.9.9.2.10 The Supplier shall document all findings at each stage of the Sensitivity Review process within its Supplier Sensitivity Report, as set out in section 5 of this Framework Schedule 2, unless otherwise specified by Contracting Authorities.

#### **6.8.9.10 Potential Exemption(s) under Environmental Information Regulations 2004 (EIR)**

6.8.9.10.1 The Supplier shall consider the Sensitive information contained within the Record in line with the Exemption(s), known as Exception(s), specific only to Environmental Information Regulations 2004 (EIR), as set out in the link below:

<http://www.legislation.gov.uk/uksi/2004/3391/made>

6.8.9.10.2 The Supplier shall consider the Sensitive information contained within the Record in line with the Exemption(s) Information Exemption(s) (Exception(s)) in the Environmental Information Regulations within The National Archives- Access to Public Records document as set out in 6.8.9.8.3.

6.8.9.10.3 The Supplier shall determine the following information where Exemption(s) under the EIR (2004) support withholding some or all of the Sensitive information contained within the Record:

- EIR Exception(s) as set out in Information Exemption(s) (Exception(s)) in the Environmental Information Regulations within The National Archives- Access to Public Records document;
- Prepare justification and recommendation(s) for application of EIR Exception(s);
- Duration period for how long the Exemption(s) shall apply, as set out in paragraph 6.8.9.13.6
- Record status as set out in paragraph 6.8.9.13.7

6.8.9.10.4 The Supplier shall provide a report which will state its finding(s) and recommendation(s) on whether or not the Exemption(s) set out in paragraph 6.8.9.9 and 6.8.9.10 support withholding information within its Supplier Sensitivity Reports, as set out in paragraph 6.10.2.

6.8.9.10.5 The Senior Sensitivity Reviewer shall consider the two Exemption(s) categories and determine whether or not the information is supported by an Absolute or Class-based Exemption(s) and shall inform the Supplier if they will be required to undertake any further action(s), for example but not limited to: further information to support the findings with the Supplier Sensitivity Reports and/or continuing the Sensitivity Review to determine whether the Record(s) Status should be Retained, Closed or Partially Closed, as set out in paragraph 6.8.9.13.

#### **6.8.9.11 Exemption(s) that do not support withholding Sensitive information**

6.8.9.11.1 The Supplier shall provide the following details within its Supplier Sensitivity Report where none of the Exemptions(s) apply to the Sensitive information contained within the Record:

- state the Sensitive information in a clear and identifiable manner
- state the exact Exemption(s) considered and why
- state the reason(s) why the Exemption(s) did not support the argument to withhold the information
- state the recommended Record status (for example Open status if no information is to be withheld under any Exemption(s))
- state which information is recommended to be released to the public

#### **6.8.9.12 Retention of Record(s) within Contracting Authorities department**

6.8.9.12.1 The Supplier shall be aware of the information contained in each Record in order to assess and determine whether Record(s) at the end of the Sensitivity Review process contain content whereby Contracting Authorities shall request the Advisory Council on National Record(s) and Archive(s) (ACNRA) support its request to Retain within its department.

6.8.9.12.2 The Supplier shall Review each Record to identify whether, none, some, or all of the information contained within the Record(s) contains Sensitive information and determine that Record as containing one of the following, unless otherwise specified by Contracting Authorities:

- contains some Sensitive information, which shall be Retained by Contracting Authorities and does not require an application to be Retained
- contains Sensitive information, which requires an application to be Retained by Contracting Authorities on Sensitivity grounds

#### **6.8.9.12.3 Consideration and recommendation(s) on grounds to Retain a Record**

6.8.9.12.3.1 The Supplier shall review, identify and determine the grounds, in accordance with Contracting Authorities' guidance document as set out in paragraph 6.7, which Record(s) are too sensitive for transfer to The National Archives and release

to the public, and are therefore appropriate for Retention within Contracting Authorities department(s).

6.8.9.12.3.2 The Supplier shall consider ground(s) to Retain the information within Record(s) in conjunction with the Public Record(s) Act 1958 (PRA) in order to determine each Record's Retention Status. The Supplier shall make reference to the area(s) applicable within the Supplier Sensitivity Report, as set out in paragraph 6.10.2.

6.8.9.12.3.3 The Supplier shall compare its findings against grounds as set out in The National Archives Grounds for Retention Table as set out in the link below where it identifies Record(s) appropriate for Retention. The Supplier shall be aware that it is anticipated most considerations shall be under numbers 4 or 6 of the Table.  
<http://www.nationalarchives.gov.uk/documents/information-management/access-to-public-records.pdf>

6.8.9.12.3.4 The Supplier shall determine whether or not the Sensitive information identified is supported by the grounds stated within The National Archives Grounds for Retention Table as set out in 6.8.9.12.3.3 above and therefore decide whether or not an Application to Retain the Record(s) shall be made to the ACNRA.

6.8.9.12.3.5 The Supplier shall report all findings to the Senior Sensitivity Review within the Supplier Sensitivity Report, as set out in paragraph 6.10.2.

6.8.9.12.3.6 Further information on guidelines on Retention are set out in The National Archives: Access to public Record(s) link below

[www.nationalarchives.gov.uk/documents/information-management/access-to-public-records.pdf](http://www.nationalarchives.gov.uk/documents/information-management/access-to-public-records.pdf)

6.8.9.12.3.7 The Supplier's services under paragraph 6.8.9.12 shall state its finding(s) and recommendation(s) within its Supplier Sensitivity Report to the Senior Sensitivity Reviewer, as set out in paragraph 6.10.2. The Senior Sensitivity Reviewer shall decide whether the Record(s) shall be considered Retained and shall inform the Supplier if it is required to undertake any further action(s), for example but not limited to further information to support the findings within the Supplier Sensitivity Report; and when required instruction to complete the Application to retain document.

#### **6.8.9.13 Applying Closed or Partially Closed status following consideration of Exemption(s)**

6.8.9.13.1 The Supplier shall undertake the following steps when identifying Record(s) that do not currently have a Record status and shall be reviewed in order to be considered for Closed and/ or Partially Closed status, unless otherwise specified by Contracting Authorities:

- identify which FOI exemption(s) may apply to the Record(s)
- identify which Environmental information Regulations (EIR) may apply to the Record(s)
- explain within the Supplier Sensitivity Report reason(s) for restriction(s) and why the information contained in the Record(s) falls under the exemption(s)
- identify how long each Record shall be Closed as set out Closure periods within 6.8.9.13.2 below
- identify and apply a re-review date which will ensure the Record(s) is -reviewed again prior to the Closed date expiring in order to re-

asses the Sensitivity level (as it may reduce or increase over time) and consider if it can be made available to the public after Closed date expires as set out in Closure periods

- consider whether parts of the Record(s) may be released in the event Sensitive information was Redacted.

6.8.9.13.2 The Supplier shall follow the guidance on Closure periods by the National Archives :

<http://www.nationalarchives.gov.uk/documents/information-management/closure-periods.pdf>

6.8.9.13.3 The Supplier shall undertake the following steps when identifying Record(s) that are already deemed Closed or Partially Closed Record(s) by Contracting Authorities at that point in time and required a re-review, unless otherwise specified by Contracting Authorities.

6.8.9.13.4 Record(s) currently deemed Closed

- identify which Record(s) is currently Closed
- determine whether the Sensitivity level has reduced and can be made available to the public
- determine whether the Sensitivity level remains the same or has increased
- identify reason(s) for restriction(s) and which FOI exemption(s) may apply to the Record(s)
- identify reasons(s) for restriction(s) and which Environmental Information Regulations (EIR) may apply to the Record(s)
- explain within report to the Senior Sensitivity Reviewer why the information contained in the Record(s) falls under the exemption(s)
- identify how long each Record(s) shall be Closed
- Identify and apply a re-review date

6.8.9.13.5 Record(s) currently deemed Partially Closed

- identify which Record(s) is currently Partially Closed
- determine whether the Sensitivity level has reduced and can be made available to the public
- determine whether the Record(s) remains Partially Closed or has escalated to Closed
- identify reason(s) for restriction(s) and which FOI exemption(s) may apply to the Record(s)
- identify reason(s) for restriction(s) and which Public Record(s) Act 1958 exemption(s) may apply to the Record(s)
- identify reasons(s) for restriction(s) and which Environmental Information Regulations (EIR) may apply to the Record(s)
- explain within the Supplier Sensitivity Report why the information contained in the Record(s) falls under the exemption(s)
- identify how long each Record(s) shall be Partially Closed or Closed
- identify and apply a re-Review date



**6.8.9.13.6 Duration period for how long the Exemption(s) and/or Exception(s) shall apply**

6.8.9.13.6.1 The Supplier shall determine the duration period, known as Closure period, for how long Exemption(s) shall apply in line with the guidance provided at the induction event and at the start of each project implementation meeting as set out in paragraph 6.7, unless otherwise specified by Contracting Authorities. This guidance information shall provide the Supplier with detail on the specific Closure timescales to be stated for Closure for the Record(s) being Sensitivity Reviewed.

6.8.9.13.6.2 The Supplier shall state the determined Closure period within the Supplier Sensitivity Report detailing the reasoning behind this recommendation.

**6.8.9.13.7 Review of Record status following Sensitivity Review**

6.8.9.13.7.1 The Supplier shall recommend one of the two options as a Record status to Contracting Authorities' Senior Sensitivity Reviewer, as set out in paragraph 6.8.9.13.

6.8.9.13.7.2 The Supplier shall recommend one of two Record status options where the Sensitive information is rejected as not suitable for Retention by Contracting Authorities. The Supplier shall decide between Closed and Partially Closed as a Record status to Contracting Authorities Senior Sensitivity Reviewer.

6.8.9.13.7.3 The Supplier shall state its finding(s) and recommendation(s) within its report to the Senior Sensitivity Reviewer, as set out in paragraph 6.10.2. Senior Sensitivity Reviewer shall decide whether the Record(s) shall be considered Closed or Partially Closed and shall inform the Supplier if it is required to undertake any further action(s), for example but not limited to: further information to support the findings within the Supplier Sensitivity Report and when required provide information for the compilation on transfer form.

**6.8.9.13.8 Compilation of Closure on transfer form**

6.8.9.13.8.1 The Supplier shall provide Contracting Authorities with the required information in order for Contracting Authorities to request approval by the Advisory Council for National Record(s) and Archives (ACNRA) on behalf of the Secretary of State for Culture, Media and Sport (SSCMS) for:

- Record(s) being considered for Closed status to be granted Closed status by ACNRA
- Record(s) currently deemed Closed to remain at the current status until an agreed re-Review date
- Record(s) currently deemed Partially Closed to remain at the current status or move to Closed status in the event ACNRA agrees Sensitivity level has increased

**6.8.9.14 Identifying information requiring Redaction and Redaction service(s)**

6.8.9.14.1 The Supplier shall identify area(s) requiring Redaction, resulting in information being Redacted from a Record, and therefore requiring the Record status to be amended in line with the requirement(s) set out in paragraph 6.8.9.13.

6.8.9.14.2 The Supplier shall clearly identify the area(s) within each Record(s) that it recommends to be Redacted, for example but not limited to inserting page markers on page(s).

6.8.9.14.3 The Supplier shall provide exact detail(s) of the information it recommends be Redacted within the report to the SSR. The SSR shall make the decision on behalf of Contracting Authorities whether or not to Redact the information presented. Examples of this information are, but is not limited to:

- word, sentence, paragraph, chapter, section, page, picture and/or image to be Redacted
- reason(s) for text to be Redacted
- details of applicable legislation to support reason(s) to be Redacted

6.8.9.14.4 The Supplier shall report all findings to the Senior Sensitivity Reviewer within the Supplier Sensitivity Report as set out in section 6.10.2 of this Framework Schedule 2.

#### **6.8.9.15 Record Preparation Service**

6.8.9.15.1 The Supplier shall provide a Record Preparation Service which shall be the process of conducting the careful physical Preparation of Record(s) to ensure they remain intact and usable.

6.8.9.15.2 The Supplier shall undertake all Record Preparation Services in accordance with the specification of requirements provided by Contracting Authorities at further competition stage. Examples of Record Preparation service requirements are, but are not limited to:

- removal of metal items e.g. paper clips, staples and pins
- removal of rubber and plastic items e.g. rubber bands and plastic wallets
- endorsing torn, loose or badly damaged papers with their reference number and insert into polyester enclosure to prevent further damage
- endorse papers with degrading adhesive tape stuck to them with their reference numbers and insert into polyester enclosures to prevent further damage
- tagging relevant documentation together

6.8.9.15.3 The Supplier shall undertake all Record Preparation services in accordance with the requirements and standards stated within The National Archives' Preparing Records for Transfer to The National Archives' policy in the event a Record(s) is required to be sent to The National Archives, and unless stated by Contracting Authorities. This policy sets out 'how to' prepare Records for transfer in line with the standards required. The Preparing Records for Transfer to The National Archives' policy is set out in the link below:

<http://www.nationalarchives.gov.uk/documents/information-management/preparing-records-for-transfer-to-the-national-archives.pdf>

6.8.9.15.4 The Supplier shall provide a Record Preparation Service in accordance with the requirements of the Contracting Authorities designated Place of Deposit. Details of those requirements will be provided by the Contracting Authorities at Call Off stage. A list of The

National Archives approved Places of Deposit is set out in the link below:

<http://www.nationalarchives.gov.uk/archives-sector/our-archives-sector-role/legislation/approved-places-of-deposit/>

6.8.9.15.5 The Supplier shall provide all stationery items required in performing the File Preparation service. Examples of these items may be, but are not limited to:

- polyester enclosures (also known as Poly pockets)
- acid free envelopes
- photocopying paper
- plastic ended tags (50mm, 125mm and 230mm)
- boxes (small, medium and large)
- archival tube 3" diameter
- bubble wrap
- corrugated cardboard
- cotton tape
- chinagraph pencil
- elastic bands
- shrink wrap
- parcel tape
- paperclips
- photocopying paper
- Photocopying documentation
- Wedge-shaped foam boards

## 6.9 VOLUMES, THROUGHPUT AND QUALITY CONTROL OF SERVICE

6.9.1 The Supplier shall comply with the scheduled volumes of the contracted Service(s) as specified by the Contracting Authorities at Call Off stage. This shall be reviewed at periodic intervals in order to for the Supplier to demonstrate quality of output and increase productivity to the Contracting Authorities.

6.9.2 The Supplier shall comply with the scheduled daily/weekly/monthly throughput of service(s), as specified by Contracting Authorities, in accordance with standard(s) and quality control(s) referred to in paragraph 6.13.1. The throughput of service(s) and quality controls will be agreed between the parties at the Call Off stage.

## 6.10 REPORTING

### 6.10.1 Inventory Management of Record(s)

6.10.1.1 The Supplier shall provide an inventory report(s) of all Record(s) received and/or held (On Site and/or Off Site) on behalf of Contracting Authorities while undertaking the Service(s). This shall include, but shall not be limited to:

- date Record passed from the Contracting Authority to Supplier
- mode of transport Record sent by the Contracting Authority to Supplier (Off Site service only)
- Record name and/or reference number
- location of the Record held by Supplier
- resource name Record is allocated to

- short description of work currently being undertaken on the Record
- date Record returned to the Contracting Authority
- anticipated date Record to be returned to the Contracting Authority (if work still in progress)
- mode of transport Record to be sent back to the Contracting Authority (Off Site service only)

6.10.1.2 The content and frequency of the report(s) shall be specified by Contracting Authorities at the Call Off stage, but as a minimum shall be provided on a monthly basis and at no additional cost to Contracting Authorities.

## 6.10.2 Reporting on Service Activity

6.10.2.1 The Supplier shall provide Contracting Authorities with a report(s), for each of the service(s) required and contracted under this Framework Schedule 2 Service Line 4, detailing the activity undertaken within an agreed period. This shall include, but shall not be limited to:

- work allocated by Contracting Authorities
- work submitted by the Supplier to Contracting Authorities
- work accepted by Contracting Authorities from the Supplier as completed
- work returned by Contracting Authorities to the Supplier, and the reasoning for this
- corrected work re-submitted by the Supplier to Contracting Authorities
- corrections accepted by Contracting Authorities from the Supplier

6.10.2.2 The content, timescale and frequency in providing this report(s) shall be specified by Contracting Authorities at Call Off stage, but as a minimum shall be provided on a monthly basis and at no additional cost to Contracting Authorities.

6.10.2.3 The Supplier shall provide a report to Contracting Authorities' Senior Sensitivity Reviewer which shall contain a full audit of the activity undertaken and the decisions Contracting Authorities are required to make, unless otherwise specified by Contracting Authorities.

## 6.11 SUPPLIER PERSONNEL (in addition to Section 11)

6.11.1 The Supplier shall provide suitably experienced personnel for Service Line 4 to undertake the relevant Specialist Records Management and/or Project Management Services.

Supplier Personnel Job Roles	Service Title	Service Requirement
Lister	Listing	To conduct the service(s) as set out in Framework Schedule 2
Lister Project Manager	Listing	To conduct the service(s) as set out in Framework Schedule 2
Cataloguer	Cataloguing	To conduct the service(s) as set out in Framework Schedule 2
Cataloguer Project Manager	Cataloguing	To conduct the service(s) as set out in Framework Schedule 2

Triage Sensitivity Reviewer	Triage Sensitivity Review	To conduct the service(s) as set out in Framework Schedule 2
Triage Sensitivity Reviewer Project Manager	Triage Sensitivity Review	To conduct the service(s) as set out in Framework Schedule 2
Record Preparer	Record Preparation	To conduct the service(s) as set out in Framework Schedule 2
Record Preparer Project Manager	Record Preparation	To conduct the service(s) as set out in Framework Schedule 2

6.11.2 The Supplier shall provide the required number of personnel per job role, with the required level of qualification(s) and experience for the period of time stated by the Contracting Authorities at the Call Off stage, and shall ensure they are in place to perform their roles at the agreed contract start date.

6.11.3 An example of the qualification(s) and experience required is, but are not limited to:

- English language skills for example to proficiency or GCSE standard or equivalent
- Ability to apply attention to detail
- Ability to scrutinise documentation by applying complete attention to detail
- Ability to consider content in line with Contracting Authorities' Sensitivity Review guidance and training
- Ability to consider content in line with Freedom of Information Exemption(s)
- Clear and accurate written skills
- English language skills for example to proficiency or GCSE standard or equivalent

6.11.4 The Supplier shall, on occasion(s), be required to provide personnel that have more enhanced skills than those set out in paragraph 6.11.3, which shall be specified by Contracting Authorities at the Call Off stage. Examples of which include, but are not limited to:

- Chartered Institute of Library and Information Professionals or equivalent
- Certificate or Diploma in Professional Studies (Record(s) and Information Management) or equivalent.

6.11.5 The Supplier shall have access to a wide network of suitably qualified resources, as set out in paragraph(s) 6.3 and 6.8 and as specified by Contracting Authorities at Call Off stage.

6.11.6 The Supplier shall provide the Contracting Authorities with a curriculum vitae (CV) for each member of personnel it proposes to work on its contract and within the timescale(s) stated at Call Off stage. As a minimum the CV shall contain the personnel member's qualifications and details of previous experience.

6.11.7 The Supplier shall accept that Contracting Authorities reserves the right to accept and/or reject members of personnel proposed by the Supplier to work on its contract, where the Supplier Personnel proposed do not have the required skills, experience and qualifications.

#### **6.11.8 Project management services**

6.11.8.1 The Supplier shall provide Personnel to be skilled project manager(s) with the required level of experience and expertise to manage and deliver the service in line with the agreed time, quality and cost, as specified by Contracting Authorities. As a minimum, all project managers are required to have knowledge, expertise and experience within the contracted discipline, for example but not limited to within the last 3-5 years.

6.11.8.2 The Supplier shall, on occasion(s), be required to provide Project Managers with project management qualification(s), which will be stated by Contracting Authorities at Call Off stage. An example of the qualification includes, but is not limited to:

- Prince 2 Project Management Practitioner or equivalent
- Prince 2 Project Management Foundation or equivalent

6.11.8.3 The Project Manager shall provide Contracting Authorities with a project plan within the agreed timelines and at no further cost to Contracting Authorities. The scope, content, format and presentation shall be specified by Contracting Authorities at the Call Off stage but as a minimum shall detail:

- scope of the project(s) (including project tolerance(s))
- timescale(s) and key milestone(s) for each service and deliverable
- number of resources and job roles and time periods they are required
- incorporate cost(s)
- incorporate quality checks (what they consist of and timescales for completion)
- incorporate inspection and correctional work (what they consist of and timescales for completion)
- identify areas of risk
- security clearance status per resource

6.11.8.4 The Supplier shall work with Contracting Authorities Senior Sensitivity Reviewer and its team to deliver the contracted service in line with the Contracting Authorities Implementation Plan, specification of requirements, key milestone(s) and/or deliverable(s) and all associated timescale(s).

#### **6.12 TRAVEL AND RELATED COSTS (for Service line 4)**

6.12.1 The Supplier's day date charges shall include costs associated with providing the On-Site services as outlined in Framework Schedule 2 Service Line 4, but shall not include travel and subsistence.

6.12.2 The Supplier's day date charges shall include all cost(s) and overhead(s) associated with providing the Off-Site services as outlined in this Framework Schedule 2 Service Line 4, but shall not include travel and subsistence.

6.12.3 The Supplier's travel and subsistence will be chargeable to Contracting Authorities at the Call Off stage in line with Contracting Authorities' travel and subsistence policy.

## 6.13 QUALITY CONTROL AND CORRECTIONAL WORK

### 6.13.1 Quality

- 6.13.1.1 The Supplier shall perform the Service(s) in accordance with the quality control requirements, as specified by Contracting Authorities at the Call Off stage. The Supplier shall undertake the Contracting Authorities' Specialist Records Management service requirement(s) in order to complete and submit work for quality control inspection(s) to Contracting Authorities and/or The National Archives. The details of the check(s) shall, as a minimum, include the following: scope, frequency, percentage tolerance(s) and timescales for completion.
- 6.13.1.2 The Supplier shall be aware that the definitive quality control for successful completion of Listing and Cataloguing work shall be acceptance of the Catalogue template by The National Archives within two (2) submissions, as set out in paragraph 6.8.1 and paragraph 6.8.2 of this Specification, in the timeframe specified by Contracting Authorities at Call Off stage.
- 6.13.1.3 The Supplier shall be aware that the definitive quality control for successful completion of Record Preparation work shall be acceptance of the Record by The National Archives within two (2) submissions, as set out in paragraph 6.8.9.15 of this Specification, in the timeframe specified by Contracting Authorities at Call Off stage.
- 6.13.1.4 The Supplier shall be aware that the definitive quality control for successful completion of Appraisal and Selection work shall be acceptance of the following templates by The National Archives within two (2) submissions, as set out in paragraph 6.8.3 of this Framework Schedule 2, in the timeframe specified by Contracting Authorities at Call Off stage.
- Appraisal Report template
  - Series-level Appraisal questionnaire template (SLAQ)
  - Catalogue template
- 6.13.1.5 The Supplier shall be aware Contracting Authorities may require the Supplier to implement and conduct its own quality control check(s) and measure(s) and will be specified by Contracting Authorities at Call Off stage.

### 6.13.2 Inspection and Correctional Work (known as rework)

- 6.13.2.1 The Supplier shall perform the Service(s) in accordance with the inspection and correctional work requirements, as specified by Contracting Authorities at the Call Off stage. The details of the check(s) shall, as a minimum, include the following: scope, frequency, percentage tolerance(s) and timescales for completion.
- 6.13.2.2 The Supplier shall complete the correctional work in line with the requirements set out in paragraph 6.8.
- 6.13.2.3 Payment retention – Cataloguing and Record Preparation services only.
- 6.13.2.4 For correctional work specific to Cataloguing and Record Preparation services only; Contracting Authorities shall pay the Supplier for work completed on this service on a monthly basis.
- 6.13.2.5 The Supplier shall be aware that Contracting Authorities shall reserve the right to retain a percentage of the monthly invoice amount (up to a maximum of 20%) and pay the full amount due once all Records have been accepted by The National Archives. The Retained percentage shall be accrued either:

- i. on a monthly basis (i.e. up to a maximum of 20% of the monthly contract charge (either agreed per month or pro rata)); or
- ii. on an agreed amount deducted from the monthly contract price which equates to the annual percentage amount agreed (i.e. up to a maximum of 20% of the annual contract price).

6.13.2.6 The Supplier shall be aware that Contracting Authorities will clearly stipulate within their Specification of Requirements at the Call Off stage, where they will:

- retain a percentage of the contract price;
- state the percentage to be Retained; and
- state whether the percentage Retained shall be accrued monthly or deducted on an annual basis as set out in paragraph 6.13.2.3.

6.13.2.7 The Supplier shall work with Contracting Authorities and The National Archives in order to consider best practice and to deliver a greater quality service(s) resulting in a reduction in correctional volumes.

6.13.2.8 The Supplier shall comply with the Key Performance Indicators (KPI's) as specified by Contracting Authorities at Call Off stage.

## **6.14 ACCESS TO SITE(S) AND TRANSPORT**

### **6.14.1 Access to Contracting Authorities IT System(s)**

6.14.1.1 The Supplier shall complete all work which requires access to Information Technology (IT) through Contracting Authorities' own IT system(s), unless otherwise specified by Contracting Authorities. This will be applicable to personnel working On Site and/or Off Site.

6.14.1.2 The Supplier Personnel shall receive access of appropriate levels to Contracting Authorities' IT system(s) prior to the Contract start date and shall be agreed within the Contract Implementation Plan.

6.14.1.3 The Supplier shall comply with all of the Contracting Authorities security and Data protection requirement(s) regarding access to its IT system(s). The confidentiality, security and Data protection requirement(s) will cover Supplier access to system(s) on both an On Site and/or Off Site basis.

6.14.1.4 The Supplier Personnel shall receive system-specific required training from Contracting Authorities in order to access and use its IT system(s). The extent of the training and timescale for delivery will be agreed at the Call Off stage and included within the contract Implementation Plan.

### **6.14.2 Off Site location at which service(s) may be provided**

6.14.2.1 The Supplier shall perform the Service(s) within a secure location where all and/or part of the Services are required to be performed Off Site. The secure location shall be in accordance with the standards, as set out by Contracting Authorities at Call Off stage.

<h2><b>7 SERVICE LINE 5 MANDATORY REQUIREMENTS – OFF-SITE AND/OR ON-SITE COMBINED RECORDS INFORMATION MANAGEMENT SERVICES</b></h2>
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This section provides details of the mandatory Off-Site and/or On-Site combined Records Information Management Services requirements Service in addition to section 9 of this Framework Schedule 2, that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.



- 7.1 The core requirement is for the dedicated provision of a UK wide Off Site and/or On-Site Records Information Management Service utilising the Suppliers own or third party's premises or the Contracting Authorities own premises/facilities, this where Contracting Authorities have either an existing On-Site Records Information Management Service or a combined Off and On Site service.
- 7.2 The Supplier shall only provide an On-Site Service to Contracting Authorities where there is a clear and planned transition agreed between the Supplier and Contracting Authorities to provide a full Off-Site or combined Off-Site and On-Site Service.
- 7.3 The Supplier shall take assignment of the lease for the facility in which the Service will be delivered as specified by Contracting Authorities at the Call Off stage.
- 7.4 The Supplier shall utilise its market expertise and knowledge to influence; work with and support Contracting Authorities' strategies in areas such as: optimisation of Physical Storage requirements, including the reduction of volumes; management of retention and disposal/ Destruction strategies; the optimisation or better use of digitised Material in line with governments digital by default agenda to maximise opportunities for savings and deliver added value.

## **8 SERVICE LINE 6 MANDATORY REQUIREMENTS – SCANNING SERVICES**

This section provides details of the mandatory Scanning Services requirements Service in addition to section 9 of this Framework Schedule 2, that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

- 8.1 The core requirement is for the provision of a UK wide Off-Site and/or On-Site Scanning Service utilising the Suppliers own premises (including Sub-Contractor premises) in the delivery of the Services, which shall include but may not be limited to:
  - Scanning Services (Off and/or On-Site)
  - Document Scanning & Digitising of paper images (or other media as specified)
  - Archiving
  - Inventory software
  - On line customer access
  - Secure storage and access
  - Electronic Retrieval (Secure File Transfer Protocol)
  - Document Storage Solution Development
  - Disposal and Destruction
  - Risk assessment
  - Assurance
  - Management Information reporting
  - Ad hoc reporting
  - Exception reporting
- 8.2 The Supplier shall utilise its market expertise and knowledge to influence; work with and support Contracting Authorities' strategies in areas such as the optimisation or better use of digitised Material in line with governments digital by default agenda to maximise opportunities for savings and deliver added value.
- 8.3 The Supplier shall ensure that they are capable of providing services for varying volumes of paper Records into a digital format within the timescales specified by Contracting Authorities at the Call Off stage.

- 8.4 The Supplier shall collect and retrieve Records and their associated items from the Contracting Authorities premises for scanning purposes, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 8.5 The Supplier shall ensure that they have the necessary tools, processes, procedures and resource to convert document originals into formats including but not limited to: hand written notes; A0 wallcharts through to A5; mono and colour documentation; and bound notebooks.
- 8.6 The Supplier shall save scanned documents into a pdf format unless otherwise specified by Contracting Authorities at the Call Off stage. The Supplier shall ensure that they have the ability to Record, Catalogue or number images when required by Contracting Authorities.
- 8.7 The Supplier shall have the ability to handle confidential information and demonstrate security procedures appropriate to the Contracting Authorities' requirements. The Supplier shall propose alternative and/or secure solutions to Contracting Authorities in its handling of documents, which meet both the security requirements and add value.
- 8.8 PRE-SCANNING PREPARATION SERVICE**
- 8.8.1 The Supplier shall provide Contracting Authorities with a pre-scanning preparation Service which shall consist of the following as a minimum:
- The Supplier shall ensure that Records are prepared for Scanning by removing all staples, paperclips, treasury tags and all other bindings leaving each piece of paper separate.
  - The Supplier shall also when necessary trim pages to prepare the Record for Scanning. The Supplier shall ensure that where it is necessary to undertake this activity it shall ensure that it is kept to a minimum and avoids removing text and other content of the page.
- 8.8.2 The Supplier shall ensure that during the Record preparation activity the documents and pages within the Record are kept in the same order as they were prior to the Record preparation activity being undertaken.
- 8.9 RECORDS INFORMATION MANAGEMENT SYSTEM / DOCUMENT REPOSITORY SYSTEM (RM/DRS)**
- 8.9.1 The Supplier shall utilise the Contracting Authorities RM/DRS to digitally store scanned Records.
- 8.9.2 The Supplier shall upon request scan the Records into Contracting Authorities RM/DRS, for single images this should be completed within 24 hours and for Bulk Scanning projects this shall be completed within 72 hours, unless otherwise specified by Contracting Authorities.
- 8.9.3 The Supplier shall ensure that the following information is indexed on the RM/DRS System for each Record to be scanned, unless otherwise specified by Contracting Authorities:
- Supplier Reference number
  - Customer Reference number
  - Date and time Record Scanned
  - Destruction date

- Description field
- 8.9.4 The Supplier shall scan each Record individually and save the scan on the RM/DRS in the following format;
- File type: PDF (or otherwise specified)
  - Scan resolution: 300dpi (or otherwise specified)
  - Scan format: Black and White (or otherwise specified)
  - File name: RM/DRS Barcode number (or otherwise specified)
- 8.9.5 The Supplier shall ensure that each Scanned Record is a clear Image of the original Physical Record and complies in full with the formats as set out in 8.9.4, unless otherwise specified by Contracting Authorities.
- 8.9.6 Audit**
- 8.9.6.1 The Supplier shall ensure that the process for uploading scanned images to Contracting Authorities RM/DRS provides an audit trail of all relevant activity which allows Contracting Authorities at Call Off level and the Authority at Framework level to undertake a full audit of related system activities.
- 8.9.7 The Supplier shall ensure that the Record is scanned to ensure that it is demonstrably trustworthy in line with BS10008: Evidential weight and legal admissibility of electronic information, where specified by Contracting Authorities at the Call Off stage.
- 8.9.8 The Supplier shall securely delete the Scanned Record from its own Records Information Management System within 28 days of the image being 'accepted' by the Contracting Authorities unless otherwise specified by Contracting Authorities or a digital storage or repository service is being provided.
- 8.9.9 The Supplier shall provide the encrypted Scanned image(s) to Contracting Authorities via a hard drive, USB or DVD (or other Contracting Authorities specified media), if the image is not uploaded to Contracting Authorities or Supplier Records Information Management System.

## **9 MANDATORY REQUIREMENTS – FOR ALL SERVICE LINES 1 - 6**

This section provides details of the mandatory requirements for service lines 1 – 6 that the Supplier shall be expected to fulfil in their entirety for On-Site; Off-Site; Active and Inactive Records Management, in order to meet the requirements of this Framework Agreement, unless otherwise specified by Contracting Authorities.

### **9.1 RECORDS INFORMATION MANAGEMENT SYSTEM**

- 9.1.1 The Supplier shall provide and maintain a Records Information Management System which shall have the capability to meet the requirements of the Authority and/or Contracting Authorities, as set out in this Framework Schedule 2.
- 9.1.2 The Supplier shall manage all Records using the Records Information Management System, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.1.3 The Supplier shall ensure that the Records Information Management System is accessible via the internet and shall support the following, as a minimum:
- requests by any authorised personnel for action against specified Records;

- other exchanges and/or exceptions;
  - routine exchanges.
- 9.1.4 The Supplier shall control and manage the electronic link between the Records Information Management System and the Contracting Authorities Users between 06:00 and 22:00 hours Monday to Friday, excluding UK Bank Holidays, unless otherwise specified by Contracting Authorities.
- 9.1.5 The Supplier understands and agrees that all information held in the Records Information Management System shall remain the property of Contracting Authorities and shall be made available to Contracting Authorities if required.
- 9.1.6 The Supplier shall provide a telephone service between 08:00 and 18:00 hours Monday to Friday, excluding UK Bank Holidays as a minimum, to resolve enquiries where by any other means has failed (e.g. direct requests and communication exchanges through the Records Information Management System), unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.1.7 Records Information Management System – System Security**
- 9.1.7.1 The Supplier shall ensure that the Records Information Management System is developed, implemented and maintained in accordance with Contracting Authorities', HM Government and CESG security standards and policies as set out in paragraph 9.1.7.9 of this Framework Schedule 2, unless otherwise specified by Contracting Authorities' at the Call Off stage.
- 9.1.7.2 The Supplier shall ensure the implementation of security controls and how they shall comply with ISO27001, CESG BCS, Cabinet Office Security Policy Framework and Industry best practice is documented, with associated security policies and standards as set out in paragraph 9.1.7.9 of this Framework Schedule 2.
- 9.1.7.3 The Supplier shall organise and facilitate a review of the Records Information Management System on an annual basis from the point at which it is accredited, unless otherwise specified by Contracting Authorities' at the Call Off stage.
- 9.1.7.4 The Supplier shall ensure that all Data, documentation and information stored on or transferred to the Records Information Management System is secured in a manner that is commensurate with the Government Security Classification Policy rating of 'Official' at all times, unless otherwise specified by Contracting Authorities.
- 9.1.7.5 The Supplier shall conduct a Privacy Impact Assessment for individual Contracting Authorities where required, in line with the Privacy Impact Assessment Code of Practice, as specified by Contracting Authorities at the Call Off stage.
- <https://ico.org.uk/media/for-organisations/documents/1595/pia-code-of-practice.pdf>.
- 9.1.7.6 The Supplier shall ensure that all security controls are traceable to risks or other requirements in line with Industry Standards, as specified by Contracting Authorities at the Call Off stage. The Supplier shall ensure that all security controls are fully specified in all documentation, including design and plans for secure operation.
- 9.1.7.7 The Supplier shall produce a report which details the residual risks identified and shall secure acceptance in writing from the Contracting Authorities Senior Responsible Officer (SRO) in respect of the report.

- 9.1.7.8 The Supplier shall ensure that all Records Information Management System Data, documentation and information shall be protected from loss and access is controlled and restricted to Users with appropriate security clearance, as specified by Contracting Authorities at the Call Off stage.
- 9.1.7.9 The Supplier shall ensure that the Records Information Management System is capable of withstanding Industry Standard penetration tests, which shall include an IT security check carried out in accordance with CESG policy and procedures.  
<https://www.cesg.gov.uk/PolicyGuidance/Pages/index.aspx>
- 9.1.7.10 The Supplier shall ensure that access to the Records Information Management System is restricted and permissible to authenticated Users.
- 9.1.7.11 The Supplier shall ensure that the method used to provide access to the Records Information Management System shall not transmit or store security-related information (e.g. password) in such a way that it could be intercepted or accessed and used to gain unauthorised access, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.1.7.12 The Supplier shall ensure that the Records Information Management System has functionality to enable management checks to detect, prevent and report upon attempts of unauthorised access and/or unauthorised changes to the Records Information Management System.
- 9.1.7.13 The Supplier shall ensure that the Records Information Management System shall automatically identify all security incidents and produce a report documenting the incident, in addition to or in line with the requirements specified by Contracting Authorities.
- 9.1.7.14 The Supplier shall ensure that the Records Information Management System enables an alarm function, in Real Time, which is not visible to the User and shall be activated by incidents specified by Contracting Authorities.
- 9.1.7.15 The Supplier shall ensure that alarm activated incidents are routed to a destination and recorded on audit logs, as specified by Contracting Authorities.
- 9.1.7.16 The Supplier shall ensure that the Records Information Management System has functionality to detect, log out and report authorised User access made without authority and/or business need, as specified by Contracting Authorities at the Call Off stage.
- 9.1.7.17 The Supplier shall undertake risk assessments to identify Data items and business processes which require encryption. The requirements of such risk assessments will be specified by Contracting Authorities at the Call Off stage.
- 9.1.7.18 The Supplier shall ensure that the Records Information Management System employs encryption to Data which is transferred across a network or extracted by electronic means. The level of encryption shall be commensurate with the classification of OFFICIAL, or in line with the Contracting Authorities stated requirements.
- 9.1.7.19 The Supplier shall ensure that software upgrades for operating systems and essential programs (such as backup software) are applied in accordance with Contracting Authorities specified timescales and requirements if they relate to security or operational weaknesses.

## **9.1.8 Records Information Management System – Training**

- 9.1.8.1 The Supplier shall be responsible for the provision of training for the Records Information Management System through this Framework Agreement. The

Supplier shall ensure that Contracting Authorities' Users are fully appraised, ensuring effective use of the Records Information Management System, prior to a Call Off Commencement Date.

#### **9.1.9 Records Information Management System – User Management and Security**

9.1.9.1 The Supplier shall ensure the Records Information Management System Records the following information on registered Contracting Authorities and Supplier Users and as minimum including the following Data fields in addition to or in line with the Contracting Authorities stated requirements.

- Primary user ID or User reference;
- Full name;
- E-mail address;
- User status (new, suspended, terminated, re-certification required, on-leave, etc.);
- Necessary dates (e.g. user account start, termination, last-changed, re-activation);
- Group, job or other role/responsibility.

9.1.9.2 The Supplier shall enable Users and User groups with different authorisation and access levels to be set up on the Records Information Management System, unless otherwise specified by Contracting Authorities. This shall include but may not be limited to:

- administrative access to set up User access (creation, updating, suspending, de-suspending and deletion of User Profiles);
- requestor access to request Records;
- information amendment access;
- manual Destruction date amendment access;
- system privileges.

9.1.9.3 The Supplier shall ensure that User profiles/accounts must be designed around the User profile/role (hierarchy) matrix in addition to or in line with the Contracting Authorities stated requirements. For example – a request by a User to amend one thousand (1,000) Records to be ready for immediate Destruction, would require Contracting Authorities internal approval (i.e. be approved by the appropriate line manager), as specified by the Contracting Authorities at Call Off stage.

9.1.9.4 The Supplier shall ensure the Records Information Management System shall enable the assignment of multiple User profiles.

9.1.9.5 The Supplier shall ensure that Users access to the Records Information Management System reflects the User's profile access rights.

9.1.9.6 The Supplier shall ensure that the Records Information Management System has the functionality to limit User access to a summary view only (e.g. no low-level audit details such as classification details).

9.1.9.7 The Supplier shall ensure the Records Information Management System has functionality to allow the visibility of Users and groups of Users to Contracting Authorities, unless otherwise specified at the Call Off stage.

- 9.1.9.8 The Supplier shall ensure that an advisory warning is displayed prior to initiating the logon process to the Records Information Management System. This message must inform the User that the use of the Records Information Management System is governed by a security policy, contravention of which may lead to internal disciplinary action or legal proceedings in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.9 The Supplier shall ensure the Records Information Management System shall have the functionality to enable 'logging out' of Users who have become frozen in the application without disrupting the Records Information Management System, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.1.9.10 The Supplier shall ensure that the Records Information Management System shall enable the automatic timing out (logging out) of logged in Users after 10 minutes of inactivity on the Records Information Management System in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.11 The Supplier shall ensure the Records Information Management System shall automatically disable User accounts after a given period of inactivity, e.g. suspension following 30 days of inactivity in addition to or in line with the Contracting Authorities stated requirements; the Records Information Management System must notify Contracting Authorities Contract Management personnel accordingly.
- 9.1.9.12 The Supplier shall ensure the Records Information Management System shall advise the Users when they attempt to log-on that they are either suspended from the service or are not currently registered as a User. This shall include a message advising the reason i.e. suspension following 30 days of inactivity in addition to or in line with the requirements specified by Contracting Authorities.
- 9.1.9.13 The Supplier shall ensure the Records Information Management System has the functionality to produce a report to identify all inactive accounts on a weekly basis in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.14 The Supplier shall ensure that all Users of the Records Information Management System are security cleared to the appropriate level prior to them undertaking work on the Records Information Management System in addition to or in line with the Contracting Authorities stated requirements. As a minimum, a Baseline Personnel Security Standard (BPSS) or an equivalent of BPSS of all Supplier Personnel, all consultants and all contractors must be undertaken by the Supplier prior to access being allowed.
- 9.1.9.15 The Supplier shall ensure that User accounts on the Records Information Management System are not shared.
- 9.1.9.16 The Supplier shall ensure that controls are in place to issue temporary passwords and any other access mechanisms specified by Contracting Authorities, prior to granting Supplier Personnel with temporary access to the Records Information Management System.
- 9.1.9.17 The Supplier shall ensure the Records Information Management System shall have a logon and authentication process to identify and authenticate Users before accessing each application.

- 9.1.9.18 The Supplier shall ensure the password to access the Records Information Management System (as a minimum or in addition to or in line with the Contracting Authorities stated requirements must:
- not contain more than two consecutive duplicate characters;
  - be a minimum of eight characters and not common words;
  - frequency of change (which shall be specified by Contracting Authorities during the Implementation Period);
  - should not be the same as the User ID or other Log-In Name;
  - be used for system-to-system authentication.
- 9.1.9.19 The Supplier shall ensure the Records Information Management System shall enable Users to change their own password after re-entering their current password in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.20 The Supplier shall ensure that the Records Information Management System shall enable Administrative Users to initialise or change passwords for Users, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.1.9.21 The Supplier shall ensure the Records Information Management System shall require new passwords to be manually keyed in twice to avoid keying errors (copy and paste shall be prohibited) in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.22 The Supplier shall ensure that following set up of a User account the Records Information Management System instructs the User to change their password upon log on, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.1.9.23 The Supplier shall ensure that the Records Information Management System shall prevent Users from selecting a non-compliant password. The Supplier shall ensure that password selection is compliant with the requirements specified by Contracting Authorities.
- 9.1.9.24 The Supplier shall ensure that the Records Information Management System shall include a protection mechanism including automatically suspending the User account following three (3) consecutive unsuccessful login attempts in addition to or in line with the requirements specified by Contracting Authorities at the Call Off stage.
- 9.1.9.25 The Supplier shall ensure the Records Information Management system shall provide a report to identify the number of unsuccessful log in attempts, including personnel number; name, location, reason and time login was attempted in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.26 The Supplier shall ensure that all unsuccessful login attempts which results in invocation of login protection mechanism must be recorded and available for audit on the Records Information Management System in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.27 The Supplier shall ensure that passwords are not stored, transmitted or otherwise expressed by any process handling the password on the Records Information Management System including the authentication process in addition to or in line with the Contracting Authorities stated requirements.



- 9.1.9.28 The Supplier shall ensure that password maintenance and audit processes, which unavoidably display passwords in the clear to do so at secured terminals viewable only by Authorised Users in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.29 The Supplier shall ensure the files containing encoded passwords to be kept hidden by the Records Information Management System in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.30 The Supplier shall ensure the Records Information Management System shall force the User to change their password at regular intervals (Contracting Authorities' Policy is thirty (30) calendar days) in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.31 The Supplier shall ensure the Records Information Management System shall prompt Users to change their password prior to its expiry in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.32 The Supplier shall ensure the Records Information Management System shall prevent a User from simply re-entering their password rather than changing it and shall prevent re-use of a password already used by the User over the previous one hundred and eighty (180) days in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.33 The Supplier shall ensure that where a User's password or password change is not accepted, the User shall be presented with a pop-up message advising them of the reason for the error in addition to or in line with the Contracting Authorities stated requirements.
- 9.1.9.34 The Supplier shall ensure all Records Information Management System application interfaces are configured to prevent the User RM System User/Administrator's passwords from being automatically populated in addition to or in line with the Contracting Authorities stated requirements.

**9.1.10 Records Information Management System – Incident Reporting and Resolution**

9.1.10.1 The Supplier shall ensure the Records Information Management System shall enable the reporting and the necessary functions to resolve any security incidents that arise in addition to or in line with the Contracting Authorities stated requirements. This shall include but not be limited to:

- where systems have broken down;
- individuals have acted in breach of any of the Records Information Management protocols.

9.1.10.2 The Supplier shall ensure the Records Information Management System shall have the required functionality in place to limit the impact of any Records Information Management System Failure in addition to or in line with the Contracting Authorities stated requirements. This shall include but not be limited to:

- Protection of Data from loss;
- Protection of Data from damage.

9.1.10.3 The Supplier shall ensure that in the event of any Records Information Management System downtime there are processes and resources in place to

maintain the continuity of Records Information Management Services in addition to or in line with the Contracting Authorities stated requirements. The Supplier shall ensure that these processes are reviewed and updated on a minimum of six (6) monthly basis, unless otherwise specified by Contracting Authorities.

9.1.10.4 The Supplier shall ensure the recovery process and their Data, is maintained throughout and ensure that both the Contracting Authorities and the Contracting Authorities information is protected against loss by the implementation of formal and agreed backup and restore procedures.

9.1.10.5 The Supplier shall ensure that the backup of the Records Information Management System and all Data content must be automated and require no User intervention. The Supplier's restore process shall ensure that the security of the Records Information Management System and all Data content and their information is maintained throughout the process and that the information is protected against loss by the implementation of formal and agreed backup and restore procedures which meet the Contracting Authorities requirements, as set out in Section 10 – Standards of this Framework Schedule 2 or are in addition to or in line with the requirements specified by Contracting Authorities.

#### **9.1.11 Records Information Management System – Disaster Recovery**

9.1.11.1 The Supplier shall ensure that the documented procedures (technical and business) for complete transition for the invocation of Disaster Recovery should be documented in a simple step by step check list and stored at both the operational and Disaster Recovery Site in addition to or in line with the Contracting Authorities stated requirements.

9.1.11.2 The Supplier shall ensure that any unplanned downtime of the Records Information Management System is resolved within the following time periods in addition to or in line with the requirements specified by Contracting Authorities:

- Severity Level 1 Incidents – within 4 Service Hours of the Incident being assigned to the Supplier;
- Severity Level 2 Incidents – within 1 Service Day of the Incident being assigned to the Supplier; and
- Severity Level 3 Incidents – within 5 Service Days of the Incident being assigned to the Supplier.

#### **9.1.12 Records Information Management System – Management Information (MI)**

9.1.12.1 The Supplier shall ensure the Records Information Management System shall support the production of Management Information required by both the Authority and Contracting Authorities to support the Record Information Management Service.

9.1.12.2 The Supplier shall provide management information in an electronic format through an electronic link between a Contracting Authorities' User and the Records Information Management System. The Supplier shall also provide hard copy reports when requested by Contracting Authorities.

9.1.12.3 The Supplier shall ensure the Records Information Management System is capable of producing the Management Information as a minimum in the following formats:

- Excel;
- Access;

- CSV;
- Word;
- PDF.

9.1.12.4 The Supplier shall provide management information as specified by Contracting Authorities at the Call Off stage, which shall include but may not limited to:

- the number of Records held in store;
- the number of Records retrieved within a defined period; and
- details of Records that are due to be destroyed.

9.1.12.5 The Supplier shall provide Contracting Authorities with access to the Records Information Management System to view Real Time information and create and extract management information reports, unless otherwise specified by Contracting Authorities at the Call Off stage.

#### **9.1.13 Records Information Management System – Audit Requirements**

9.1.13.1 The Supplier shall ensure that the Records Information Management System provide an audit trail of all relevant activity which allows the Contracting Authorities at Call Off level and Contracting Authorities at Framework level to undertake a full audit of related system activities.

#### **9.1.14 Records Information Management System – Audit Security Standards and Policies**

9.1.14.1 The Supplier shall ensure that audit functions in the Records Information Management System comply with the Contracting Authorities departmental Information System Security Standards (System Security Policy) as specified by Contracting Authorities at the Call Off stage.

9.1.14.2 The Supplier shall ensure that audit trails are protected to the same level as the information handled by the Records Information Management System.

#### **9.1.15 Records Information Management System – Inventory and Audit Trail Requirements**

9.1.15.1 The Supplier shall ensure that the Records Information Management System has functionality to maintain a complete and accurate Real Time Record for each item held in storage, including all identifiable details as specified by Contracting Authorities' at the Call Off stage.

9.1.15.2 The Supplier shall ensure that comprehensive, complete and accurate Records of all “functions” and User activity required in the intake, retrieval, archive, disposal, Destruction or changes to control Data. A minimum Record shall be kept of:

- Identifiers for Records or item requested;
- The date, time and source of the request;
- The action carried out and the date completed;
- Contracting Authorities identifiers for item passed for archive, Destruction or disposal;
- Date destroyed

9.1.15.3 The Supplier shall ensure that they retain full and accurate Records of authorisation and security actions in relation to the above functions.

9.1.15.4 The Records of any items destroyed shall be kept for a period agreed between the Contracting Authorities and the Supplier (to be identified during Call Off stage and/ or implementation) and must take the form of a secure electronic audit trail.

9.1.15.5 The Supplier shall be required to follow the process for retaining and archiving Contracting Authorities data specified by the Contracting Authorities.

## 9.2 STORAGE REQUIREMENTS

9.2.1 The Supplier shall have the capacity and capability to store the following items, as a minimum:

- Boxes of Records and Items;
- Records;
- Documents;
- Paper;
- Forms;
- Legal documentation;
- Evidence photographs;
- Microfilm;
- Maps;
- X rays;
- Fragile and vulnerable items

9.2.2 The Supplier shall have the capacity and capability to store:

- Boxes containing Records or documents with or without identifying details marked on the boxes and/ or Records;
- Records marked with or without identifying details marked on the covers;
- Items with or without identifying details marked on to be placed in or associated with a Records already in store.

9.2.3 The Supplier shall have the capacity and capability to store items in line with Contracting Authorities' requirements, which shall include but may not be limited to: physically in Boxes; Records; open-shelf and/or alphabetically. The storage requirements will be specified by Contracting Authorities at the Call Off stage.

9.2.4 The Supplier shall ensure that the Records location and movement history are recorded and made available within the Records Information Management System on a real time basis.

9.2.5 The Supplier shall ensure that Boxes are uniquely identifiable (e.g. barcode reference) to show the contents and Common Destruction Date, subject to arrangements agreed in advance and in writing between Contracting Authorities and the Supplier.

9.2.6 The Supplier shall populate up to five Data fields per Record for Record identification purposes on the Records Information Management System, unless otherwise specified by Contracting Authorities. The content of the Data fields shall be specified by Contracting Authorities at the Call Off stage.

9.2.7 The Supplier shall have the capability to store alternative materials including but not limited to: electronic media; Data tape; digital Data; evidence; samples and fragile and/or vulnerable items when requested by Contracting Authorities. The specific requirements will be specified by Contracting Authorities at the Call Off stage and chargeable to Contracting Authorities.

9.2.8 The Supplier shall propose to Contracting Authorities the most cost effective and efficient means of storage to meet Contracting Authorities' requirements, however

Contracting Authorities will specify modes of storage at the Call Off stage. The Supplier shall pay particular attention to assuring that modes of storage mitigate future Exit requirements (e.g. time, cost and location).

9.2.9 The Supplier shall use their market knowledge to ensure they comply with any specific or appropriate standards for storage and/ or Disposal of such Items (e.g. Human Tissue Authority Codes of Practice).

9.2.10 The Supplier shall protect Records in storage from deterioration, including but not limited to protecting Records from:

- Water damage;
- Fire and smoke damage;
- Chemical substance damage;
- Pests.

9.2.11 The Supplier shall provide specialised storage for large volumes of Material which require specialist environmental controls, when requested by Contracting Authorities at the Call Off stage. This shall include but may not be limited to:

- Secret or Top Secret storage and Service Levels
- BSI PD 5454 Guide for the Storage and Exhibition of Archival materials

### 9.3 INTAKE (New and Existing Records) AND RETRIEVAL

9.3.1 The Supplier shall provide an Intake and Retrieval Service for Records stored, which shall include:

9.3.1.1 Intake (New Record)

- Initial Registration of Record on Records Information Management System within 24 hours;
- Place Record to shelf.

9.3.1.2 Intake (Existing Record)

- Arrange collection and transport back to Records Store (unless otherwise specified by Contracting Authorities at the Call Off stage);
- Update Record return on the Records Information Management System within 24 hours;
- Place Record back to shelf.

9.3.1.3 Retrieval

- Pick Records , Boxes and Supporting documents from shelves (or pallets) from the storage area within the Records Store;
- Update Record movement on the Records Information Management System within 24 hours;
- Prepare Records, Boxes and Supporting documents for transportation via its own or the Contracting Authorities Courier service.

9.3.2 The Supplier shall accept requests for Intake and Retrievals via the Records Information Management System and ensure that the accurate status of the Record is recorded at all times e.g. if a Record is permanently withdrawn by Contracting Authorities the status of that Record is reflected as such on the Records Information Management System.

- 9.3.3 The Supplier shall accept Intake and Retrieval requests via telephone, post, email and facsimile, in the event that the Records Information Management System is unavailable to the User.
- 9.3.4 The Supplier shall ensure that telephone requests for Retrievals require a confirmation email prior to the Supplier releasing the Record to a business area.
- 9.3.5 The Supplier shall ensure that Intake and Retrieval requests are recorded and traceable in the Records Information Management System within 1 hour of the Records Information Management System becoming available, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.3.6 The Supplier shall implement and manage formal procedures to prevent the dispatch of Records to any location which has not been designated as an agreed delivery Site. The Supplier shall have robust procedures in place to ensure that Records dispatched from the Site are only sent to authorised recipients of the Contracting Authorities. The Contracting Authorities shall provide a designated site and a list of nominated authorised recipients, at implementation and ensure this is updated periodically.
- 9.3.7 The Supplier shall keep all Records delivered to and from the Contracting Authorities premises secure until they are transferred to the Contracting Authorities representative or placed back into the Records Store.
- 9.3.8 The Supplier must provide a scanning service for any Record that is suitable for electronic transmission within the timescales specified by the Contracting Authorities e.g. a scan on demand service.
- 9.3.9 The Supplier shall re-shelve all Records back to the (original location) Records Store and optimise the use of space e.g. box consolidation when returning the Record back to the Records Store, within the specified timescales by the Contracting Authorities.

#### 9.4 WEEDING

- 9.4.1 The Supplier shall provide a weeding service upon instruction by Contracting Authorities, which shall include but shall not be limited to:
- removal of specified items;
  - removing information relating to a specified time period within agreed timescales
  - Destruction of the removed Items
- 9.4.2 The Supplier shall replace all incorrectly filed Records identified as part of the Weeding process, to their original location.
- 9.4.3 The Supplier shall ensure that all incorrectly marked Boxes within the store, identified as part of the Weeding process are correctly marked as specified by Contracting Authorities at the Call Off stage.
- 9.4.4 The Supplier shall utilise its market expertise and knowledge where appropriate to influence; work with and support Contracting Authorities' strategies in areas such as the optimisation of Physical Storage requirements, including the opportunity for the reduction of volumes; management of retention and disposal/ Destruction strategies; and optimisation or better use of digitised Material in line with the governments digital by default agenda to maximise opportunities for savings and deliver added value.

#### 9.5 BULK OPERATIONS

- 9.5.1 A Bulk Operation shall include but may not be limited to the following requirements:
- a specific written request from Contracting Authorities for a particular task to be undertaken as a one-off piece of work;
  - a prioritised task with defined objectives and set timescales;
  - an achievable task which agreed between the Contracting Authorities and the Supplier;
  - a task performed outside and in addition to normal operations;
  - a task performed for a limited (defined) period of time.
- 9.5.2 The Supplier shall undertake all necessary activity in connection with requests for Bulk Operations, when requested by Contracting Authorities, as part of its day to day activities, wherever possible and shall maximise available resources. This shall include but may not be limited to:
- Bulk intake or retrieval of Records (e.g. organisational re-structuring or re-organisation);
  - Bulk uplift of Records, re-filing, Data integrity, Data cleansing, Data capture;
  - Bulk marking of Records (physical or on the Supplier's Records store control mechanism e.g. Records marked "not for destruction" after a Destruction embargo);
  - Bulk Destruction of Records on the explicit instruction of the Contracting Authorities authority (e.g. on the lifting of a Destruction embargo);
  - Bulk changes of ownership of Records (e.g. on internal re-organisation)
- 9.5.3 Operations shall be arranged through the Contracting Authorities Contract Manager and Service Levels shall be determined prior to the Call Off stage.

## 9.6 AD-HOC FUNCTIONS

9.6.1 The Supplier shall carry out additional Storage related ad-hoc functions in response to requests made by the Contracting Authorities Contract Management Team. Such requirements will be specified by Contracting Authorities at the Call Off stage, which shall include but may not be limited to:

### 9.6.1.1 Urgent Document Retrieval

- Urgent Document Retrieval (File or box) on request, a File or Box held in store may need to be retrieved urgently and sent to the specified User. A list of 'authorised' delivery addresses/Users shall be specified by the Contracting Authorities and updated amended as necessary.

### 9.6.1.2 Information retrieval

- Information retrieval – Image On request, the image of a specified document contained in a Record shall be sent to the person requesting it. (A scanned image is preferred, but FAX is possible and in some circumstances may be specifically requested by the User). The Supplier shall comply with the individual Contracting Authorities policies/guidelines on the sending of customer/employee personal information if the information is sent by email over the Internet.

## 9.7 DOCUMENT MAINTENANCE

9.7.1 The Supplier shall be responsible for maintaining all stored items to an acceptable level; this shall include but may not be limited to:

- 9.7.1.1 The Supplier shall ensure that Records do not become damaged whilst in the Store.
- 9.7.1.2 The Supplier shall replace badly Damaged Boxes when they are identified in Store.
- 9.7.1.3 The Supplier shall immediately replace Damaged File covers in addition to replacing all required labelling and Barcodes, when any Damage is identified.
- 9.7.1.4 The Supplier shall immediately replace Damaged Boxes, in addition to replacing all required labelling and Barcodes, when any Damage is identified.
- 9.7.1.5 The Supplier shall Put Away all incorrectly filed Records to their correct location within the Store as soon as it is discovered that they have been misfiled. The Supplier shall also ensure that the correct Unique Location is recorded on the Records Information Management System in Real Time.
- 9.7.1.6 The Supplier shall ensure Records within the File Store are uniquely marked in accordance with Contracting Authorities instructions. In the event that a Supplier identifies any Records or Items that are not uniquely marked, the Supplier shall take immediate action to provide the Unique Reference in accordance with the Contracting Authorities instructions.
- 9.7.1.7 The Supplier shall ensure that the Destruction date attached to each Record is recorded accurately on the Records Information Management System, at all times.
- 9.7.1.8 The Supplier shall take all necessary action to rectify the incorrect Destruction date where a Record is identified by the Supplier as having been incorrectly marked or having an incorrect Destruction date, in line with Contracting Authorities instructions, as soon as the inaccuracy has been identified.
- 9.7.1.9 The Supplier shall seek instruction from the Contracting Authorities Contract Manager for any Non-Conforming Records found in the Store.
- 9.7.2 The Supplier shall provide, if required by the Contracting Authorities, a Primary Records (and part Records where applicable) and Secondary Records (where applicable) cleansing service to minimum standards as follows;
  - Removal of all corrosive metals, staples, pins etc.;
  - Repair of torn or damaged page edges;
  - Removal and Destruction and duplicate pages;
  - Transfer of photographs (or any other identified specialist material) to specialist sleeves;
  - Replacement of damaged covers with new
- 9.7.3 The Supplier shall provide monthly reports or at a frequency specified by the Contracting Authorities, on Records maintenance activity, particularly where a charge is incurred.
- 9.7.4 The Supplier shall notify the Contracting Authorities in advance of replacement of Damaged Records, so that the Contracting Authorities may decide on the appropriate course of action to be taken, if requested by Contracting Authorities.

## 9.8 CONSUMABLE ITEMS

- 9.8.1 The Supplier shall provide with Consumables to the Authority and/or Contracting Authorities if required to fulfil the requirements of a Call Off Contract. This shall include but may not be limited too;



- Boxes;
- Barcodes;
- Euro Pallets;
- British Standard Pallets;
- Elastic bands;
- Shrink wrap;
- Parcel Tape
- Tags (Plastic);
- Media Transfer Case;
- Security Seals

## 9.9 MISSING RECORD PROCEDURE

9.9.1 The Supplier shall comply with the Contracting Authorities requirements regarding the provision of a missing record procedure that shall as a minimum include a process for locating missing Records, recording of issues and an escalation process.

## 9.10 TRANSPORT

9.10.1 The Supplier shall comply with the transport requirements of Records to and from the Sites/Stores as specified by Contracting Authorities at the Call Off stage.

9.10.2 The Supplier shall transport Records between the Store and the Contracting Authorities operational Sites where required, as specified by Contracting Authorities at the Call Off stage, Including;

- One (1) week delivery
- Next day delivery
- Same day delivery
- Two (2) hour delivery

9.10.2.1 The Supplier shall ensure that transportation is provided in the most efficient manner wherever possible or as part of an established, pre-scheduled or routine set of delivery routes.

9.10.3 The Supplier shall ensure that all deliveries of Records sent to the Contracting Authorities Site(s) are accompanied by a packing slip detailing the Records that have been transported.

9.10.4 The Supplier shall deliver Records to Contracting Authorities within secure and unmarked packaging (e.g. not stating the Contracting Authorities name).

9.10.5 The Supplier shall track and trace all Records being transported between the Store and the Contracting Authorities declared operational Sites.

9.10.6 The Supplier shall be able to provide the Contracting Authorities with real time routing information for the vehicle in which the Record is travelling and if requested provide the Contracting Authorities with information on a Records location whilst in transit.

9.10.7 The Supplier shall transport Records in a secure manner which mitigates risk, including but not limited to, the risks of;

- Theft of Records;
- Unauthorised access to Records;

- Copying of Records;
- Alteration of Records;
- Substitution of Records;
- Disclosure of Records;
- Damage to Records.

#### 9.11 INACTIVE RECORDS

- 9.11.1 The Supplier shall ensure that the Records location and movement history and all Touch Points are recorded and made available within the Records Information Management System on a real time basis, unless otherwise instructed by Contracting Authorities.
- 9.11.2 The Supplier shall provide Contracting Authorities with a quarterly report, or at a frequency specified by Contracting Authorities at the Call Off stage, that identifies any Active Records that have not been retrieved from Storage for a period of at least 12 months.
- 9.11.3 The Supplier shall pro-actively manage the transition of identified Records to inactive or archived Storage and the associated rates following approval from Contracting Authorities. The Supplier shall manage this area on behalf of both Contracting Authorities at a framework level and the Contracting Authorities at a Call Off level.

#### 9.12 ARCHIVING

- 9.12.1 The Supplier is required to follow the Archiving processes specified by the Contracting Authorities.
- 9.12.2 The Supplier shall ensure boxes within the Store are marked (for example, the identification of a box for Destruction) as per the Contracting Authorities instructions.
- 9.12.3 The Supplier shall provide the Contracting Authorities with an inventory of Records held in storage.
- 9.12.4 The Supplier shall ensure all Records in storage are uniquely identifiable, for example, by each Record having a unique barcode reference.
- 9.12.5 The Supplier shall populate up to five Data fields per Record for Record identification purposes, on the Records Information Management System. The content of the Data fields will be specified by Contracting Authorities.
- 9.12.6 The Supplier shall ensure the Records location and movement history are made available within the electronic Records Information Management System in real time.
- 9.12.7 The Supplier shall ensure all Data relating to Records within the Records Information Management System is accurate and kept updated within the timescale specified by the Contracting Authorities.
- 9.12.8 The Supplier must provide a service for linking part Primary files and Secondary files, both physical (inserting Secondary files into the Primary Record) and digital to Primary files.

#### 9.13 ARCHIVING, DISPOSAL AND DESTRUCTION

- 9.13.1 The Supplier shall provide the archiving, Disposal and Destruction requirements specified by Contracting Authorities where if Service Line 3 – Off-Site and On-Site Secure Shredding, Destruction and Disposal Services is not procured by Contracting Authorities at the Call Off stage.

## 9.14 RECORDS EXTRACTION

### 9.14.1 Extraction at Call Off Contract Commencement

- 9.14.1.1 The Supplier shall recognise and accept that Contracting Authorities' may not be able to meet extraction costs outright or as a single Exit payment, therefore the Supplier shall seek and support innovative solutions that allow extraction costs to be negated or renegotiated and kept to an absolute minimum. For example, where applicable costs spread over the period of the Call Off Contract.
- 9.14.1.2 The Supplier shall suggest proposals to Contracting Authorities where these costs can be removed or reduced and how a more 'efficient' alternative shall be considered.
- 9.14.1.3 The Supplier shall ensure that the maximum interest chargeable to Contracting Authorities is in line with the current Bank of England base rate at the time of a Call Off Contract, where the financial structure and underwriting of any proposal from the Supplier is to spread costs over a Call Off period.

### 9.14.2 Extraction at Call Off Contract Commencement, Expiry or Termination

- 9.14.2.1 The Supplier shall recognise the limitations to the Call Off Contract length for Government organisations under this Framework Agreement and shall support Contracting Authorities and incoming Suppliers at contract end in the extraction of Records.
- 9.14.2.2 The Supplier shall present to the Contracting Authorities an Entry/Exit Strategy, at the Call Off stage, which includes clarity and transparency of the extraction charges to be applied at expiry or termination of a Call Off Contract.
- 9.14.2.3 The Supplier shall ensure transparency of any costs for relevant activities designed to make physical and electronic Data available for transfer to a new or incoming Supplier. These costs must not exceed the contracted extraction costs agreed at the Call Off stage, with discounts included on the basis of a Bulk or volume based requirement.

## 9.15 AUDITS AND ADVICE

- 9.15.1 The Supplier shall work proactively with Contracting Authorities in support of their strategy e.g. to separate Inactive Records from its active environment. The Supplier shall identify opportunities for efficiencies within the Records Information Management Service provided as a whole.
- 9.15.2 The Supplier shall proactively and consistently utilise its market expertise and knowledge to influence and assist in the development of inactive policy and procedures in the evaluation of technology support tools, at the Contracting Authorities disposal, in the support of a Contracting Authorities strategy where the management of space or the costs of storing high volumes of Inactive Records has become an issue for them or where there are clear opportunities identified as a result of an audit or through other means, resulting in the Contracting Authorities being able to review its existing Records management strategy in order that cost or process efficiencies can be considered.
- 9.15.3 The Supplier shall have the capability to undertake an audit(s) of the Contracting Authorities Records in order that a distinction between Active, and Inactive Records can be made in line with a set of parameters as set out by the Contracting Authorities prior to the audit.
- 9.15.4 The Supplier shall ensure that the output of the audit must identify non-essential Records and ascertain proposals to be presented to the Contracting Authorities

around the identification of those Records that can be considered as Inactive, based upon their historical Management Information, for 'transfer' to an Inactive state, alongside any cost or process efficiencies that are also identified.

#### **9.16 HELP DESK**

- 9.16.1 The Supplier shall provide a helpdesk service to answer telephone enquiries, at no additional cost to Contracting Authorities, during the core operational hours of 08:00 to 18:00 hours, Monday to Friday unless otherwise specified by Contracting Authorities at the Call Off stage.
- 9.16.2 The Supplier shall ensure that helpdesk service personnel take enquiries from Contracting Authorities in-house and/or by third party service desks, as required by Contracting Authorities.
- 9.16.3 The Supplier shall establish, publish and maintain processes, procedures and associated systems to provide effective management of incidents and problem resolution;
- 9.16.4 The Supplier shall report progress on incident and problem fixes to Contracting Authorities via the helpdesk service.
- 9.16.5 The Supplier shall provide Contracting Authorities with an out of hour's telephone number for emergencies, as specified by Contracting Authorities at the Call Off stage.
- 9.16.6 When requested by Contracting Authorities at the Call Off stage, the Supplier shall provide a helpdesk service which is available 24 hours per day, 7 days per week to answer telephone enquiries outside of the core operational hours of 08:00 to 18:00 hours, Monday to Friday unless otherwise specified by Contracting Authorities at the Call Off stage.

#### **9.17 CONTROL REQUIREMENTS**

- 9.17.1 The Supplier shall provide control requirements for the movement of Records, as specified by Contracting Authorities at the Call Off stage.
- 9.17.2 Upon expiry of any Call Off Contract entered into under this Framework Agreement the Supplier shall subsequently provide the Contracting Authorities with a completed register and of all details relating to Records and any other stored Material held in a format suitable to the Contracting Authorities.
- 9.17.3 Material in the Contracting Authorities Records Stores or held by its Legacy Supplier shall transfer to the Supplier's control at Contract go-live, date and time to be agreed prior to implementation.
- 9.17.4 Material in storage elsewhere (e.g. Contracting Authorities offices) shall transfer to the Supplier's control when it enters the Supplier's Records Store or at the point specified by the Contracting Authorities.
- 9.17.5 At the end of the Contract Period all Equipment transferred to the Supplier by the Contracting Authorities shall remain in the ownership of the Contracting Authorities. All Physical and Digitised Records shall remain the property of the Contracting Authorities at all times.
- 9.17.6 The Supplier shall agree to transfer all Data relating to the Contracting Authorities at contract expiration or termination (or alternative point as agreed) to either the incoming Supplier or the Contracting Authorities. The precise details will be specified by the Contracting Authorities at the Call Off stage.

- 9.17.7 The Supplier shall provide a complete and uncorrupted version of the Contracting Authorities' Data to Contracting Authorities upon expiry of a Call Off Contract, comprising of all details relating to the Records and Material stored, including but not limited to: volume and details of the Records stored; the number of Records retrieved during the Call Off Contract and Destruction dates.
- 9.17.8 The Supplier shall ensure that the Data is provided in an electronic format, unless otherwise specified by Contracting Authorities, including but not limited to:
- Access;
  - CSV;
  - PDF (specifically PDF-A (Archive Format));
  - Open Document Formats (ODF);
  - Microsoft Open Office XML Formats (DOCX and PPPT)
  - TXT;
  - Niche formats: Visio and Project;
  - Graphic Formats: JPG, PNG and BMP.
- 9.17.9 The Supplier shall, where requested by Contracting Authorities, amend Data on the Records Information Management System where no action is required on the physical or digital Record itself.

## 9.18 THE NATIONAL ARCHIVES

- 9.18.1 Where there is a requirement for the Contracting Authorities to transfer Records to the Supplier shall prepare and make ready the items for transfer. The Supplier shall be familiar with and comply with The National Archives standards for the cleansing of and preparation of Records as laid out in The National Archives Preparation of Records for Transfer.

<http://www.nationalarchives.gov.uk/information-management/manage-information/>

- 9.18.2 The Supplier shall ensure that Records to be cleansed are ready for The National Archives collection within one month of Receipt of the request from the Contracting Authorities.
- 9.18.3 The Supplier shall ensure that TNA's couriers have access to the Store(s) in order for collection of Items identified for transfer as appropriate.
- 9.18.4 Any Records or boxes returned by The National Archives as not meeting the required standard, having previously gone through a process of preparation by the Supplier, shall be cleansed and prepared for resubmission at the Supplier's expense.

## 9.19 FRAMEWORK MANAGEMENT

- 9.19.1 The Supplier shall provide a suitably qualified nominated 'Supplier Framework Manager' who will take overall responsibility for delivering the Goods and/or Services required within this Framework Agreement, as well as a suitably qualified deputy to act in their absence.
- 9.19.2 The Supplier shall within five (5) working days of the Framework Commencement Date send to the Authority the name and contact details (including email address and telephone numbers) of the nominated Supplier Framework Manager and Deputy Framework Manager for this Framework Agreement.

- 9.19.3 The Supplier shall communicate any change in Framework Manager to the Authority, no less than one (1) month in advance of the planned change.
- 9.19.4 The Supplier's Framework Manager shall be familiar with all aspects of the Framework Agreement and suitably experienced in the role, ensuring that all the requirements of the Framework Agreement are met or exceeded. The Supplier shall have arrangements in place to deal with annual leave or any other (un)planned absence.
- 9.19.5 The Supplier shall manage this Framework Agreement by utilising the Authorities tiered Supplier Relationship Management (SRM) approach as set out in paragraph 9.19.10.3, which provides escalation routes and enables development of the key strategies at senior levels.
- 9.19.6 The Supplier's Framework Manager shall ensure that accurate process maps for the ordering and logistics processes are created and maintained throughout the duration of the Framework Agreement, which shall include details of all processes undertaken by the Supplier to fulfil the supply of Records Information Management Services under this Lot 4.
- 9.19.7 The Supplier's Framework Manager shall ensure where Service Levels are not being met, that appropriate extra resources are committed promptly and action is taken to resolve any issues to the satisfaction of the Authority which may include a Performance Improvement Plan (PIP).
- 9.19.8 Following the Framework Commencement date, the Authority shall produce and issue to the Supplier a draft Supplier Action Plan. The Supplier Action Plan shall, unless the Authority otherwise Approves, be agreed between the Parties and come in to effect within two weeks from receipt by the Supplier of the Supplier Action Plan as specified in Framework Schedule 8 (Framework Management).
- 9.19.9 The Supplier Action Plan shall be managed and updated on an ongoing basis by the Authority. Any changes to the Action Plan shall be notified by the Authority to the Supplier. The Supplier shall not unreasonably withhold its agreement to any changes to the Supplier Action Plan. Any such changes shall, unless the Authority otherwise Approves, be agreed between the Authority and the Supplier and come in to effect within two (2) weeks from receipt by the Supplier of the Authorities notification as specified in Framework Schedule 8 (Framework Management).

**9.19.10 Supplier Review Meetings**

- 9.19.10.1 The Supplier review meetings shall take place with the Authority at an agreed location between both the Supplier and the Authority throughout the Framework Period and thereafter until the Framework Expiry Date.
- 9.19.10.2 The Supplier review meetings shall be attended, as a minimum by the Authority Representative(s) and the Supplier Framework Manager.
- 9.19.10.3 The Supplier shall agree the level of engagement and frequency with the Authority within one (1) month of the Framework Commencement Date, but as a minimum this shall include:

Frequency	Status		Format	Attendees	Information Required
Monthly	Operational		Meeting or telephone conference	To be agreed at Implementation	Monthly MI
Quarterly	Operational		Meeting	To be agreed at Implementation	Highlight Report

					Continuous Improvement Plan
Bi-annually	Operational / Strategic		Meeting	To be agreed at Implementation	Highlight Report, Mid-Year Review and Forecast Report
Annually	Strategic		Meeting	To be agreed at Implementation	Highlight Report, End of Year Review and Forecast Report

9.19.10.4 The purpose of the Supplier review meetings will be to agree strategic objectives, review Supplier performance, resolve issues, identify potential business opportunities and innovative solutions, and where applicable review the Suppliers adherence to the Supplier Action Plan.

#### 9.19.11 Framework Assurance

9.19.11.1 The Supplier shall provide the Authority with framework assurance on the following areas:

- business continuity;
- financial stability;
- Data and asset security;
- risk management;
- quality of service;
- Value for Money (VFM);
- accuracy of agreed management information and ad hoc reporting;
- environmental returns;
- initiatives; and
- continuous improvement and innovation.

9.19.11.2 The framework assurance requirements shall be managed and reviewed by the Authority and the content incorporated within the Supplier Action Plan, as set out in Framework Schedule 8 (Framework Management).

#### 9.19.12 Key Performance Indicators and Performance Management

9.19.12.1 The Supplier shall comply with the Key Performance Indicators as set out in this Framework Schedule 2 and Section 3 (Key Performance Indicators) of Framework Schedule 8 (Framework Management).

9.19.12.2 The Supplier shall provide monthly, quarterly, bi-annual and annual Highlight Reports to the Authority, which shall include the following information:

- Supplier's performance against Service Levels (as agreed at the Call Off stage);
- Identified risks and issues and measures put in place to mitigate;
- Proposals on and/or progress against agreed initiatives to perform within a leaner process;
- Proposals on and/or progress against agreed initiatives to provide economies of scale.

- High level information on the following as a minimum, but may be subject to change:
  - Destruction: number of Files and/or Boxes destroyed
  - Destruction: number of Files and/or Boxes rejected for destruction
  - Percentage fill rates of Boxes
  - Record retrievals per key Contracting Authorities Business area
  - Record Intakes

9.19.12.3 The Supplier shall utilise graphs and charts to indicate trends and variances.

#### **9.19.13 Supplier Management Information (MI)**

9.19.13.1 The Supplier shall provide MI in accordance with the requirements as set out in Framework Schedule 9 (Management Information).

#### **9.19.14 Additional Supplier Management Information (MI)**

9.19.14.1 The Supplier shall ensure they are capable of producing additional MI on the complete Services, in the following formats unless otherwise specified by the Authority:

- Excel;
- Access;
- CSV;
- Word;
- PDF

9.19.14.2 The Supplier shall ensure that specific MI requirements of the Authority continue to be met throughout the duration of the Framework Agreement and any Call Off Contracts. The Supplier shall work co-operatively with the Authority to meet developing MI requirements at no additional cost.

#### **9.19.15 Third Party Sub-Contracting**

9.19.15.1 The Supplier shall comply with the requirements set out in Clause 25 (Supply Chain Rights and Protection) of the Framework Agreement and Framework Schedule 7 (Key Sub-Contractors).

9.19.15.2 The Supplier shall be the primary point of contact for all third party Sub-Contractors and shall therefore be responsible for managing, controlling and maintaining all relationships throughout the duration of the Framework Agreement and Call Off Contracts.

#### **9.19.16 Complaints Procedure**

9.19.16.1 The Supplier shall comply with the requirements as set out in Clause 47 (Complaints Handling) of the RM3781 Framework Agreement.

9.19.16.2 The Supplier shall have in place robust and auditable procedures for logging, managing, escalating and resolving issues, complaints and problems reported by the Authority.

9.19.16.3 The Supplier shall accept issues, queries and complaints by telephone, fax, email and/or letter.

#### **9.19.17 Continuous Improvement**



- 9.19.17.1 The Supplier shall comply with the requirements set out in Framework Schedule 12 (Continuous Improvement and Benchmarking).
- 9.19.17.2 The Supplier shall continually improve the way in which the required Services are to be delivered throughout the duration of this Framework Agreement to optimise savings and efficiencies and offer increased value for money across Government.
- 9.19.17.3 The Supplier shall maintain Open channels of communication with the Authority to resolve issues, share lessons learned and present new ways of working during the Framework Agreement review meetings. Any proposed new ways of delivering the Services shall be brought to the Authorities attention and formally agreed prior to any changes being implemented.
- 9.19.17.4 The Supplier shall use their market knowledge and expertise to identify more efficient and effective forms of storage with quantifiable opportunities in areas such as: optimisation of storage capacity; reduction of Physical Storage volumes; Digitisation of Records; File (paper) reduction and Destruction strategies and proposals made, that reduce cost without impacting the quality of Services provided.
- 9.19.17.5 The Supplier shall demonstrate its capability of delivering the Services and flexibility and scalability of meeting the current and future demands in relation to Records Information Management Services of Contracting Authorities.
- 9.19.17.6 The Supplier shall conduct twice yearly a customer satisfaction exercise and survey Contracting Authorities responses to ascertain satisfaction levels for the Product Range supplied. The Supplier shall produce survey results for review by the Authority.

## **9.20 CONTRACTING AUTHORITIES CALL OFF CONTRACT MANAGEMENT**

- 9.20.1 The Supplier shall provide a suitably qualified nominated 'Call Off Contract Manager' who will take overall responsibility for delivering the Goods and/or Services required within this Call Off Contract, as well as a suitably qualified deputy to act in their absence.
- 9.20.2 The Supplier shall within five (5) working days of the Call Off Commencement Date send to Contracting Authorities the name and contact details (including email address and telephone numbers) of the nominated Call Off Contract Manager and Deputy Call Off Contract Manager for this Call Off Contract.
- 9.20.3 The Supplier shall communicate any change in Call Off Contract Manager to Contracting Authorities, no less than one (1) month in advance of the planned change.
- 9.20.4 The Supplier's Call Off Contract Manager shall be familiar with all aspects of the Call Off Contract and suitably experienced in the role, ensuring that all the requirements of the Call Off Contract are met or exceeded. The Supplier shall have arrangements in place to deal with annual leave or any other (un)planned absence.
- 9.20.5 The Supplier shall manage this Call Off Contract by utilising the Authorities tiered Supplier Relationship Management (SRM) approach as set out in paragraph 9.20.8.3, which provides escalation routes and enables development of the key strategies at senior levels.
- 9.20.6 The Supplier's Call Off Contract Manager shall ensure where Service Levels are not being met, that appropriate extra resources are committed promptly and action

is taken to resolve any issues to the satisfaction of the Authority which may include a Performance Improvement Plan (PIP).

**9.20.7 Exceptions**

9.20.7.1 In the event that the Supplier cannot carry out a request to provide the core Service requirements within the timescales specified or in line with agreed Service Levels, the Supplier shall notify the Contracting Authorities' representative who initiated the request and the Contracting Authorities' Contract Manager immediately to provide the reason why the action cannot be completed and if appropriate, indicate what other action or resolution shall be taken by the Supplier.

9.20.7.2 An exceptions report shall be made available by the Supplier to both the Authority upon request and the Contracting Authorities as part of the Supplier review meetings.

**9.20.8 Supplier Review Meetings**

9.20.8.1 The Supplier review meetings shall take place with Contracting Authorities at an agreed location between both the Supplier and Contracting Authorities throughout the Call Off Contract Period and thereafter until the Call Off Contract Expiry Date.

9.20.8.2 The Supplier review meetings shall be attended, as a minimum by Contracting Authorities' Representative(s) and the Supplier Call Off Contract Manager.

9.20.8.3 The Supplier shall agree the level of engagement and frequency with the Authority within one (1) month of the Call Off Commencement Date, but as a minimum this shall include:

Frequency	Status		Format	Attendees	Information Required
Monthly	Operational		Meeting or telephone conference	To be agreed at Implementation	Monthly MI
Quarterly	Operational		Meeting	To be agreed at Implementation	Highlight Report Continuous Improvement Plan
Bi-annually	Operational / Strategic		Meeting	To be agreed at Implementation	Highlight Report, Mid-Year Review and Forecast Report
Annually	Strategic		Meeting	To be agreed at Implementation	Highlight Report, End of Year Review and Forecast Report

9.20.8.4 The purpose of the review meetings will be to review Supplier performance and resolve issues where required.

**9.20.9 Key Performance Indicators and Performance Management**

9.20.9.1 The Supplier shall comply with the Key Performance Indicators as agreed at the Call Off stage.

9.20.9.2 The Supplier shall provide monthly, quarterly, bi-annual and annual Highlight Reports to Contracting Authorities, which shall include the following information:

- Supplier's performance against Service Levels (as agreed at the Call Off stage);

- Identified risks and issues and measures put in place to mitigate;
- Proposals on and/or progress against agreed initiatives to perform within a leaner process;
- Proposals on and/or progress against agreed initiatives to provide economies of scale.
- High level information on the following as a minimum, but may be subject to change:
  - Destruction: number of Files and/or Boxes destroyed
  - Destruction: number of Files and/or Boxes rejected for destruction
  - Percentage fill rates of Boxes
  - Record retrievals per key Contracting Authorities Business area
  - Record Intakes

9.20.9.3 The Supplier shall utilise graphs and charts to indicate trends and variances.

#### 9.20.10 **Supplier Management Information (MI)**

9.20.10.1 The Supplier shall ensure they are capable of producing MI in the following formats unless otherwise specified by the Authority:

- Excel;
- Access;
- CSV;
- Word;
- PDF

9.20.10.2 The Supplier shall ensure that specific MI requirements of Contracting Authorities continue to be met throughout the duration of the Call Off Contract. The Supplier shall work co-operatively with Contracting Authorities to meet developing MI requirements at no additional cost.

9.20.10.3 When requested by Contracting Authorities, the Supplier shall provide MI which shall include but may not be limited to:

- Duplicate Records found in store;
- Records lost in store;
- No trace of Records having been received;
- Other discrepancies that may be apparent to the Supplier and relevant to the Records owner.

#### 9.20.11 **Freedom of Information (FOI)**

9.20.11.1 The Supplier shall comply with the Authorities and/or Contracting Authorities instructions regarding FOI and ensure that all action relating to FOI requests are completed within Contracting Authorities specified timescales.

#### 9.20.12 **Third Party Sub-Contracting**

9.20.12.1 The Supplier shall comply with the requirements set out in Clause 25 (Supply Chain Rights and Protection) of the Framework Schedule 4 (Call Off Order Form and Call Off Terms).

9.20.12.2 The Supplier shall be the primary point of contact for all third party Sub-Contractors and shall therefore be responsible for managing, controlling and maintaining all relationships throughout the duration of the Framework Agreement and Call Off Contracts.

#### 9.20.13 **Complaints Procedure**

9.20.13.1 The Supplier shall be aware that any complaints received by Contracting Authorities within two (2) working days of receipt of the complaint and use best endeavours to resolve within five (5) working days, or by agreement with Contracting Authorities.

9.20.13.2 The Supplier shall have in place robust and auditable procedures for logging, managing, escalating and resolving issues, complaints and problems reported by Contracting Authorities.

9.20.13.3 The Supplier shall accept issues, queries and complaints by telephone, fax, email and/or letter.

9.20.13.4 The Supplier shall ensure that all Contracting Authorities' complaints and correspondence are logged within an "issues log" to be maintained by the Supplier's designated Call Off Contract Manager. This Record shall be made available by the Supplier to Contracting Authorities to assist with performance reviews.

#### 9.20.14 **Continuous Improvement**

9.20.14.1 The Supplier shall make available its customer satisfaction exercise results to Contracting Authorities upon request.

### **10 MANDATORY REQUIREMENTS – SECURITY AND STANDARDS FOR ALL SERVICE LINES 1 - 6**

#### 10.1 **SECURITY**

10.1.1 The Supplier shall ensure that Contracting Authorities Data remains protected at all times in accordance with Data protection legislation and policies issued by Contracting Authorities.

10.1.2 The Supplier shall store Records, at all times unless otherwise specified by Contracting Authorities, in accordance with the 'Official' classification security requirements, as set out in the link below, or in accordance with any subsequent replacement standards as specified by the Contracting Authorities:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/251480/Government-Security-Classifications-April-2014.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/251480/Government-Security-Classifications-April-2014.pdf)

10.1.3 The Supplier shall provide a secure and environmentally stable storage area which complies with HM Government's Security Classifications and minimises the risks to the Records stored. This shall comprise of a range of storage environments which shall include but may not be limited to the following security classifications:

- Official;
- ISO27002 Information Security Management;
- BS EN 15713 Secure Destruction of Confidential Material;
- BS 7858 Security Vetting;
- BS EN ISO 9001 or Equivalent accreditation;

- BIP 0008 Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically;
  - ISO 14001 Environmental Management;
  - BSI PD 5454 Guide for the Storage and Exhibition of Archival materials; and
  - Enhanced security requirements as specified by Contracting Authorities at Call Off stage.
- 10.1.4 The Supplier shall comply with any restrictions or requirements of the Contracting Authorities security policy. The Contracting Authorities' will specify their requirements at the Call Off stage and/ or during implementation.
- 10.1.5 The Supplier shall implement and maintain a security policy which specifically addresses the protection of personal and other restricted information/ Data held at Contracting Authorities' Record(s) Archive and/ or individual Record(s) shared with the Supplier either at the Contracting Authorities' premises, while in transit and the Supplier's Off Site location(s), including the risk management of:
- Information being disclosed by the Supplier Personnel inadvertently in response to an unauthorised or fraudulent request for documents or information from an unauthorised source;
  - Deliberate unauthorised access to and/or disclosure of information by the Supplier Personnel;
  - Losses physical or digital Data
- 10.1.6 The Supplier's security policy shall address as a minimum;
- Security management (risk assessment, response, evaluation, responsibilities and roles);
  - Supplier Personnel integrity (recruitment, training, vetting, and disciplinary procedures);
  - Compliance and Security policies;
  - Management of suspected/actual breaches of security
- 10.1.7 The Supplier shall ensure that the implementation of security controls and how they shall comply to ISO 27001 or agreed equivalent, CESG BC, HMG Security Policy Framework as detailed at the link below and Industry best practice is documented, with associated security policies and standards:
- <https://www.cesg.gov.uk/organisations/bcs-chartered-institute-it>
- <https://www.gov.uk/government/publications/security-policy-framework>
- 10.1.8 The Supplier shall ensure that Contracting Authorities information and Data is secured in a manner that complies with the Government Security Classification Policy rating of OFFICIAL. The Supplier shall ensure that the Government Security Classification rating is also applied when information and Data is transmitted across all applicable networks and/or in line with the Contracting Authorities' requirements.
- 10.1.9 The Supplier shall ensure the secure collection, transportation and storage of all confidential materials, so that at no time these materials are out of the Supplier's possession, or capable of being deciphered.
- 10.1.10 The Supplier shall have robust mechanisms in place to ensure that Records, documents or information are transferred to authorised personnel only.
- 10.1.11 The Supplier shall ensure that personnel Records and Records classified as 'Secret' shall be stored separately with restricted access. The Supplier shall ensure that only

personnel who have the required level of security and vetting shall be allowed in this area of the Store.

- 10.1.12 The Supplier shall upon request of the Contracting Authorities be expected to demonstrate their security capabilities specific to a particular Contracting Authorities requirement, prior to contract award.
- 10.1.13 The Supplier shall report all suspected security breaches to Contracting Authorities immediately.
- 10.1.14 The Supplier shall report all breaches, or suspected breaches, of the Data Protection Act, to the Authority and Contracting Authorities immediately. The Supplier shall include details of any breaches in the monthly/ quarterly reporting to the Authority.
- 10.1.15 The Supplier shall comply with all the relevant legislation, organisational and cross Government policy and guidelines in relation to Data and asset security.
- 10.1.16 The Supplier shall comply with any restrictions or requirements arising out of Contracting Authorities' security policies, which shall be specified at the Call Off stage and/or during implementation.
- 10.1.17 The Supplier shall provide details of their personnel security procedures and on request by Contracting Authorities, details of all personnel that they intend to use in the delivery of the Sensitivity Review Services.

## **11 MANDATORY REQUIREMENTS – SUPPLIER PERSONNEL AND VETTING FOR ALL SERVICE LINES 1 - 6**

This section provides details of the mandatory Supplier Personnel and Vetting requirements that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

### **11.1 SUPPLIER PERSONNEL**

- 11.1.1 The Supplier shall ensure that all Supplier Personnel shall possess the qualifications, experience and competence appropriate to the tasks for which they are employed.
- 11.1.2 The Supplier shall ensure that all Supplier Personnel are instructed and fully trained by the Supplier for the work they are undertaking and have direct access to manufacturer's current technical manuals and support services.
- 11.1.3 The Supplier shall ensure that all Supplier Personnel adhere and comply with Contracting Authorities' safety and confidentiality requirements in full at all times.
- 11.1.4 The Supplier shall ensure that all Supplier Personnel supplying the Services of this Framework Agreement and any Call Off Contracts act in a responsible and professional manner, and provide the Services with all due skill, care and diligence as is to be expected of a skilled professional engaged in the supply of the required Services.
- 11.1.5 The Supplier shall ensure that Supplier Personnel have PRINCE2 accreditation standards or similar, where applicable for project management of Call Off Contract implementations.

### **11.2 VETTING**

- 11.2.1 The Supplier shall ensure that all Supplier Personnel, including but not limited to engineers and/ or technicians, have been security vetted and approved to Disclosure and Barring Service (DBS) relevant standards and/ or Disclosure Scotland relevant standards where appropriate. The Supplier shall ensure this is completed prior to the involvement of Supplier Personnel in the delivery of the Services under this Framework Agreement.
- 11.2.2 The Supplier shall ensure that all Supplier Personnel Vetting Procedures comply with the British Standard, Security Screening of Individuals Employed in a Security Environment – BS 7858:2012, or agreed equivalent, unless otherwise specified by Contracting Authorities at the Call Off stage.
- 11.2.3 The Supplier shall comply with the Baseline Personnel Security Standard (BPSS) pre-employment controls, accessible via the link below:  
<https://www.gov.uk/government/publications/government-baseline-personnel-security-standard>
- 11.2.4 The Supplier shall undertake mandatory pre-engagement checks of all Supplier Personnel in accordance with the BPSS or an equivalent of the BPSS as required by the Contracting Authorities, as a minimum.
- 11.2.5 The Supplier shall for all UK Central Government Department Contracting Authorities ensure a Baseline Personnel Security Standard (BPSS) or equivalent, is undertaken for all Supplier Personnel in accordance with HMG Baseline Personnel Security Standard.
- 11.2.6 The Supplier shall comply with the BPSS, or an equivalent of BPSS and the Personnel Security and pre-employment screening requirements as specified during the Call Off stage by Wider Public Sector Contracting Authorities.
- 11.2.7 The Supplier shall ensure that all Supplier Personnel have appropriate security clearance and comply with any additional security requirements specified by Contracting Authorities at the Call Off stage.
- 11.2.8 The Supplier shall provide details of it's Supplier Personnel security procedures to Contracting Authorities. The Supplier shall also provide details of all Supplier Personnel to be involved in the delivery of the Services, when requested by Contracting Authorities.
- 11.2.9 The Supplier shall ensure that it's Supplier Personnel involved in the delivery of the Services have and maintain the relevant security clearance.
- 11.2.9.1 Contracting Authorities.
- 11.2.9.2 The Supplier shall submit all required security application documentation for the agreed number of Personnel required to Contracting Authorities within agreed timescales, for Contracting Authorities to review and consider the application(s). Contracting Authorities will then undertake the security checks at their own cost.
- 11.2.9.3 The Supplier shall accept that Contracting Authorities reserve the right to pass on the security clearance cost(s) to the Supplier for any additional Personnel outside of the agreed number at the Call Off stage.

## **12 MANDATORY REQUIREMENTS – SUSTAINABILTY AND ENVIRONMENTAL FOR ALL SERVICE LINES 1 - 6**

This section provides details of the mandatory environmental and sustainability requirements that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

## 12.1 SUSTAINABILITY

12.1.1 The Supplier shall support the wider agenda of sustainability in terms of the social, economic and environmental impact of Contracting Authorities' operations, through the provision of Data.

12.1.2 The Supplier shall comply with Government Buying Standards. Full details of which can be found on the DEFRA Sustainable Development in Government website:

<http://www.defra.gov.uk/publications/tag/government-buying-standards/>

12.1.3 The Supplier shall complete annual Corporate Social Responsibility (CSR) assessments upon request from Contracting Authorities.

12.1.4 The Supplier shall identify Social Value options which are appropriate to a Call Off Contract with Contracting Authorities at the Call Off stage. Any Social Value options selected by Contracting Authorities at the point of Call Off, shall be in accordance with the Government's Social Values which are current at that point in time.

## 12.2 ENVIRONMENTAL

12.2.1 The Supplier shall ensure that all of the applicable Equipment provided as part of the Managed Print and Content Management Services under this Lot, including packaging, comply with the requirements of the Government Buying Standards (GBS) for Imaging Products, Energy Star Rating and Article 6 of the Energy Efficiency Directive (EED) Standards. Full details can be accessed via the following link:

<https://www.gov.uk/government/publications/sustainable-procurement-the-gbs-for-office-ict-equipment>

12.2.2 The Supplier shall ensure that all Electric and Electronic Equipment (EEE) provided in association with the delivery of the Equipment provided as part of the Managed Print and Content Management Services is compliant with Restriction of Hazardous Substances (RoHs), Regulations and WEEE Regulations, where appropriate, including Producer Compliance Scheme registration. Full details can be accessed via the following link:

<https://www.gov.uk/guidance/rohs-compliance-and-guidance>

12.2.3 The Supplier shall comply and operate to the standard ISO 14001; Eco-Management and Audit Scheme (EMAS) or a nationally recognised agreed equivalent accredited standard for the scope of the Services.

12.2.4 The Supplier shall work co-operatively and provide assistance to Contracting Authorities to support the Government's Agenda to meet the Greening Government Commitments (GGC), including associated reporting requirements, details of which can be accessed via the following link:

<https://www.gov.uk/government/publications/greening-government-commitments>

12.2.5 The Supplier shall effectively manage the Services supplied under this Framework Agreement, in order to minimise any impact on the environment. Where appropriate, the Supplier shall work proactively with Contracting Authorities in relation to but not limited to, the following areas:



- noise reduction;
- removal of unwanted Consumables and;
- heat production in confined spaces.

12.2.6 The Supplier shall minimise the amount of packaging required for safe transportation and delivery of Equipment. When requested by the Authority and/or the Contracting Authorities, the Supplier shall provide evidence of how this is achieved including the purpose for each piece of packaging and whether the packaging originates from recycled / sustainable sources.

12.2.7 The Supplier shall be responsible for the collection and Disposal of all packaging, materials and redundant or replacement spare parts in accordance with WEEE Regulations as detailed at the link below:

<https://www.gov.uk/electricalwaste-producer-supplier-responsibilities/your-responsibilities>

12.2.8 The Supplier shall take steps to encourage the reuse of any WEEE generated in the delivery of the Services, as promoted by the WEEE Directive. This shall include, but is not limited to, consideration of the application of PAS 141:2011 Reuse of used and waste electrical and electronic equipment (UEEE and EEE).

### **13 MANDATORY REQUIREMENTS – FRAMEWORK MANAGEMENT FOR ALL SERVICE LINES 1 - 6**

This section provides details of the mandatory framework management and reporting requirements that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

#### **13.1 Framework Management Structure**

13.1.1 The Supplier shall provide a suitably qualified nominated 'Supplier Framework Manager' who will take overall responsibility for delivering the Services required within this Framework Agreement, as well as a suitably qualified deputy to act in their absence.

13.1.2 The Supplier shall within five (5) working days of the Framework Commencement Date send to the Authority the name and contact details (including email address and telephone numbers) of the nominated Supplier Framework Manager and Deputy Framework Manager for this Framework Agreement.

13.1.3 The Supplier shall communicate any change in Framework Manager to the Authority, no less than one (1) month in advance of the planned change.

13.1.4 The Supplier's Framework Manager shall be familiar with all aspects of the Framework Agreement and suitably experienced in the role, ensuring that all the requirements of the Framework Agreement are met or exceeded. The Supplier shall have arrangements in place to deal with annual leave or any other (un)planned absence.

13.1.5 The Supplier shall manage this Framework Agreement by utilising the Authorities tiered Supplier Relationship Management (SRM) approach as set out in paragraph 13.2.3, which provides escalation routes and enables development of the key strategies at senior levels.

13.1.6 The Supplier's Framework Manager shall ensure that accurate process maps for the ordering and logistics processes are created and maintained throughout the duration of the Framework Agreement, which shall include details of all processes

undertaken by the Supplier to fulfil the delivery of Managed Print and Content Management Services under this Lot 3.

- 13.1.7 The Supplier's Framework Manager shall ensure where Service Levels are not being met, that appropriate extra resources are committed promptly and action is taken to resolve any issues to the satisfaction of the Authority which may include a Performance Improvement Plan (PIP).
- 13.1.8 Following the Framework Commencement date, the Authority shall produce and issue to the Supplier a draft Supplier Action Plan. The Supplier Action Plan shall, unless the Authority otherwise Approves, be agreed between the Parties and come in to effect within two weeks from receipt by the Supplier of the Supplier Action Plan as specified in Framework Schedule 8 - Framework Management.
- 13.1.9 The Supplier Action Plan shall be managed and updated on an ongoing basis by the Authority. Any changes to the Action Plan shall be notified by the Authority to the Supplier. The Supplier shall not unreasonably withhold its agreement to any changes to the Supplier Action Plan. Any such changes shall, unless the Authority otherwise Approves, be agreed between the Authority and the Supplier and come in to effect within two (2) weeks from receipt by the Supplier of the Authorities notification as specified in Framework Schedule 8 - Framework Management.

**13.2 Supplier Review Meetings**

- 13.2.1 The Supplier review meetings shall take place with the Authority at an agreed location between both the Supplier and the Authority throughout the Framework Period and thereafter until the Framework Expiry Date.
- 13.2.2 The Supplier Review Meetings shall be attended, as a minimum by the Authority Representative(s) and the Supplier Framework Manager.
- 13.2.3 The Supplier shall agree the level of engagement and frequency with the Authority within one (1) month of the Framework Commencement Date, but as a minimum this shall include:

Frequency	Status	Format	Attendees	Information Required
Monthly	Operational	Meeting or telephone conference	To be agreed at Implementation	Monthly MI Highlight Report
Quarterly	Operational	Meeting	To be agreed at Implementation	Highlight Report Dashboard Continuous Improvement Plan
Bi-annually	Operational / Strategic	Meeting	To be agreed at Implementation	Dashboard, Mid-Year Review and Forecast Report
Annually	Strategic	Meeting	To be agreed at Implementation	Dashboard, End of Year Review and Forecast Report

- 13.2.4 The purpose of the Supplier Review Meetings will be to agree strategic objectives, review Supplier performance, resolve issues, identify potential business opportunities and innovative solutions, and where applicable review the Suppliers adherence to the Supplier Action Plan.

**13.3 Framework Assurance**

- 13.3.1 The Supplier shall provide the Authority with framework assurance on the following areas:

- business continuity;
- financial stability;
- Data and asset security;
- risk management;
- quality of service;
- Value For Money (VFM);
- accuracy of agreed management Information and ad hoc reporting;
- environmental returns;
- initiatives; and
- continuous improvement and innovation.

13.3.2 The framework assurance requirements shall be managed and reviewed by the Authority and the content incorporated within the Supplier Action Plan, as set out in Framework Schedule 8 - Framework Management.

#### **13.4 KEY PERFORMANCE INDICATORS AND PERFORMANCE MANAGEMENT**

13.4.1 The Supplier shall comply with the Key Performance Indicators as set out in this Framework Schedule 2 and Framework Schedule 8 - Framework Management, Section 3 (Key Performance Indicators).

13.4.2 The Supplier shall provide monthly and quarterly Highlight Reports to the Authority, to include the following information:

- Supplier's performance against Service Levels (as agreed at the Call Off stage);
- identified risks and issues and measures put in place to mitigate;
- proposals on and/or progress against agreed initiatives to perform within a leaner process;
- proposals on and/or progress against agreed initiatives to provide economies of scale.

13.4.3 The Supplier shall complete a template Dashboard Report and shall utilise graphs and charts to indicate trends and variances. The template shall be provided by the Authority.

13.4.4 The Supplier shall provide a Dashboard Report to cover a period of time specified by the Authority, on a quarterly, bi-annual and annual basis. The content of the Dashboard shall provide high level information on the following as a minimum, unless otherwise specified by the Authority:

- savings summary;
- opportunity pipeline;
- Service Level performance statistics;
- marketing and Communications summary;
- trend analysis Data;
- lessons learned (in the defined reporting period);

#### **13.5 SUPPLIER MANAGEMENT INFORMATION (MI)**

13.5.1 The Supplier shall provide MI in accordance with the requirements as set out in Framework Schedule 9 - Management Information.

### **13.6 Additional Supplier Management Information (MI)**

13.6.1 The Supplier shall ensure they are capable of producing additional MI on the complete Product Range, in the following formats unless otherwise specified by the Authority :

- Excel;
- Access;
- CSV;
- Word;
- PDF.

13.6.2 The Supplier shall ensure that the specific MI requirements of the Authority continue to be met throughout the duration of the Framework Agreement and any Call Off Contracts. The Supplier shall work co-operatively with the Authority to meet these developing MI requirements at no additional cost.

13.6.3 The Supplier shall hold the following MI for each Device in a single database and make it available to the Authority when requested, including but not limited to:

- Contracting Authorities' sector / sub-sector (categories determined by Contracting Authorities);
- Contracting Authorities;
- geographical region (categories determined by Contracting Authorities);
- Account Management details per Contracting Authority;
- average response time for Device service calls in month/quarter;
- total minutes the Device has been down (any primary function) per month/quarter;
- % Up Time of the Device per month/quarter (against total supported minutes).

### **13.7 Third Party Sub-Contracting**

13.7.1 The Supplier shall comply with the requirements set out in Clause 25 (Supply Chain Rights and Protection) of this Framework Agreement and Framework Schedule 7 (Key Sub-Contractors).

13.7.2 The Supplier shall be the primary point of contact for all third party Sub-Contractors and shall therefore be responsible for managing, controlling and maintaining all relationships throughout the duration of the Framework Agreement and Call Off Contracts.

### **13.8 Complaints Procedure**

13.8.1 The Supplier shall comply with the requirements as set out in Clause 47 of RM3781 Framework Agreement.

13.8.2 The Supplier shall have in place robust and auditable procedures for logging, managing, escalating and resolving issues, complaints or problems reported by the Authority.

13.8.3 The Supplier shall accept issues, queries and complaints by telephone, fax, email and/or letter.

### **13.9 CONTINUOUS IMPROVEMENT**

- 13.9.1 The Supplier shall comply with the requirements set out in Framework Schedule 12 - (Continuous Improvement and Benchmarking).
- 13.9.2 The Supplier shall continually improve the way in which the required Services is to be delivered throughout the duration of the Framework Agreement to optimise savings and efficiencies and offer increased value for money across Government.
- 13.9.3 The Supplier shall maintain Open channels of communication with the Authority to resolve issues, share lessons learned and present new ways of working during the Framework Agreement review meetings. Any proposed new ways of delivering the Services shall be brought to the Authorities attention and formally agreed prior to any changes being implemented.
- 13.9.4 The Supplier shall demonstrate its capability of delivering the Services and flexibility and scalability of meeting the current and future demands in relation to print strategies of Contracting Authorities.
- 13.9.5 The Authority shall reserve the right to make changes to the Services available to ensure that this Lot 3 remains compliant with Contracting Authorities' requirements.
- 13.9.6 The Supplier shall conduct twice yearly a customer satisfaction exercise and survey Contracting Authorities responses to ascertain satisfaction levels for the Services supplied. The Supplier shall produce survey results for review by the Authority.

#### **13.10 MARKETING AND COMMUNICATION**

- 13.10.1 The Supplier shall pro-actively work with the Authority to establish and manage a Marketing and Communications Plan. This plan will detail all marketing activities including, but not limited to, producing case studies, running or attending events, direct mail campaigns, and Social Media campaigns.
- 13.10.2 The Supplier shall ensure that any documents produced as a result of the Framework award can be provided in a variety of formats upon request by the Authority and Contracting Authorities, to ensure they are accessible to all. This requirement shall include, but not limited to, large print or a bi-lingual format.
- 13.10.3 The Supplier shall ensure that the emphasis of any marketing effort relating to the Framework Agreement must focus on savings and benefits to be achieved through the Framework Agreement via page output management, cost savings and/or operational efficiencies, for example, rather than benefits of the Supplier's own goods and services as an end in themselves.
- 13.10.4 The Supplier shall provide Data and images to the Authority and/or Contracting Authorities for the purposes of creating and maintaining electronic and other Catalogues upon request.
- 13.10.5 The Supplier shall produce case studies of Contracting Authorities who have contracted through the Framework Agreement to highlight the savings and benefits achieved. The Supplier shall gain approval from Contracting Authorities prior to any release or publication.
- 13.10.6 The Supplier shall highlight Social Value, sustainability and environmental advantages and issues as part of any marketing Material and specifically wherever it promotes awareness of and improvement in any of these areas.
- 13.10.7 The Supplier shall ensure that all marketing materials and communications which make reference to the Framework Agreement, including case studies, are approved by the Authority prior to any release or publication.

## **14 MANDATORY REQUIREMENTS – CALL OFF CONTRACT MANAGEMENT FOR ALL SERVICE LINES 1 - 6**

This section provides details of the mandatory Contracting Authorities Call Off contract management and reporting requirements that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of the Call Off Contract:

### **14.1 Contracting Authorities Management Structure**

- 14.1.1 The Supplier shall provide a suitably qualified nominated 'Call Off Contract Manager' who will take overall responsibility for delivering the Goods and/ or Services required within this Call Off Contract, as well as a suitably qualified deputy to act in their absence.
- 14.1.2 The Supplier shall within five (5) working days of the Call Off Contract Commencement Date send to the Contracting Authorities the name and contact details (including email address and telephone numbers) of the nominated Call Off Contract Manager and Deputy Call Off Contract Manager for this Call Off Contract.
- 14.1.3 The Supplier shall communicate any change in Call Off Contract Manager to Contracting Authorities, no less than one (1) month in advance of the planned change.
- 14.1.4 The Supplier's Call Off Contract Manager shall be familiar with all aspects of the Call Off Contract and suitably experienced in the role, ensuring that all the requirements of the Call Of Contract are met or exceeded. The Supplier shall have arrangements in place to deal with annual leave or any other (un)planned absence.
- 14.1.5 The Supplier shall manage the Call Off Contract by utilising the Contracting Authorities tiered Supplier Relationship Management (SRM) approach as set out in paragraph 14.3.3, which provides escalation routes and enables development of the key strategies at senior levels.
- 14.1.6 The Supplier's Call Off Contract Manager shall ensure where Service Levels are not being met, that appropriate extra resources are committed promptly and action is taken to resolve any issues to the satisfaction of Contracting Authorities which may include a Performance Improvement Plan (PIP).

### **14.2 Device Management**

- 14.2.1 The Supplier shall work co-operatively with Contracting Authorities to ensure the best utilisation of Devices by providing flexibility around the management, (re)location and (re)deployment of Contracting Authorities Devices throughout the duration of the Call Off Contract.
- 14.2.2 The Supplier shall ensure that all Devices within their area of control, are operated to ensure that print jobs are directed to the most efficient and cost effective Device. The Supplier shall ensure that this approach includes Contracting Authorities sites that utilise third party multi-vendor Legacy Equipment.
- 14.2.3 The Supplier shall provide proposals which shall form part of the regular review process with Contracting Authorities, following assessment of Device deployments against Contracting Authorities User demands/printed volume and utilisation of the Devices.

14.2.4 The Supplier shall ensure that proposals seek to increase the number of personnel utilising each Device to improve the User per Device ratio and support continual reduction of the Contracting Authorities print costs.

**14.3 Supplier Review Meetings**

14.3.1 Supplier review meetings shall take place with Contracting Authorities at an agreed location between both the Supplier and Contracting Authorities throughout the Call Off Contract Period and thereafter until the Call Off Contract Expiry Date.

14.3.2 The Supplier Review Meetings shall be attended, as a minimum by Contracting Authorities Representative(s) and the Supplier Call Off Contract Manager.

14.3.3 The Supplier shall agree the level of engagement and frequency with Contracting Authorities within one (1) month of the Call Off Contract Commencement Date, but as a minimum this shall include:

Frequency	Status	Format	Attendees	Information Required
Monthly	Operational	Meeting or telephone conference	To be agreed at Implementation	Monthly MI Highlight Report
Quarterly	Operational	Meeting	To be agreed at Implementation	Highlight Report Dashboard Continuous Improvement Plan
Bi-annually	Operational / Strategic	Meeting	To be agreed at Implementation	Dashboard, Mid-Year Review and Forecast Report
Annually	Strategic	Meeting	To be agreed at Implementation	Dashboard, End of Year Review and Forecast Report

14.3.4 The purpose of the Review Meetings will be to review Supplier performance and resolve issues where required.

**14.4 KEY PERFORMANCE INDICATORS AND PERFORMANCE MANAGEMENT**

14.4.1 The Supplier shall comply with the Key Performance Indicators as agreed at Call Off stage.

14.4.2 The Supplier shall provide monthly and quarterly Highlight Reports to Contracting Authorities, to include the following information:

- Supplier’s performance against Service Levels (as agreed at Call Off stage);
- identified risks and issues and measures put in place to mitigate;
- proposals on and/or progress against agreed initiatives to perform within a leaner process;
- proposals on and/or progress against agreed initiatives to provide economies of scale.

**14.5 SUPPLIER MANAGEMENT INFORMATION (MI)**

14.5.1 The Supplier shall ensure they are capable of producing MI on the complete Product Range, in the following formats unless otherwise specified by Contracting Authorities:

- Excel;
- Access;
- CSV;
- Word;
- PDF.

14.5.2 The Supplier shall ensure that the specific MI requirements of Contracting Authorities continue to be met throughout the duration of the Call Off Contract. The Supplier shall work co-operatively with Contracting Authorities to meet these developing MI requirements at no additional cost.

14.5.3 The Supplier shall hold the following MI for each Device in a single database and make it available to Contracting Authorities when requested, including but not limited to:

- Contracting Authorities sector / sub-sector (categories determined by Contracting Authorities);
- Contracting Authorities;
- geographical region (categories determined by Contracting Authorities);
- Account Management details per Contracting Authority;
- Device location including postcode;
- Device model;
- Device serial number;
- Device installation date;
- network connection status (whether the Device is connected or not);
- Machine Rated Speed;
- power consumption of Device;
- mono/colour-capable/colour as primary use;
- Device lease period in months (0 if purchased outright);
- Device lease agreement end date;
- Device quarterly/monthly lease cost (0 if purchased outright);
- total mono pages printed by the Device per month/quarter;
- total mono pages printed by the Device since installation;
- average monthly/quarterly mono volume printed by the Device since installation;
- recommended monthly/quarterly mono print volume for the Device;
- mono page cost for the Device per month/quarter;
- total colour pages printed by the Device per month/quarter;
- total colour pages printed by the Device since installation;
- average monthly/quarterly colour volume printed by the Device since installation;
- recommended monthly/quarterly colour print volume for the Device;
- colour page cost for the Device per month/quarter;
- total number of service requests logged for the Device per month/quarter;
- average response time for Device service calls in month/quarter;
- total minutes the Device has been down (any primary function) per month/quarter;
- % Up Time of the Device per month/quarter (against total supported minutes).

14.5.4 The Supplier shall provide flexible Management Information reporting to Contracting Authorities to support periodical reviews which shall assess Contracting Authorities current position in relation to their print strategy.



- 14.5.5 The Supplier shall work with Contracting Authorities to manage and maintain an effective balanced deployment of the Product Range, and make proposals to Contracting Authorities where they can demonstrate improvements can be made.
- 14.5.6 The Supplier shall conduct a benchmarking process to demonstrate how they compare against other similar users of the Framework Agreement, where requested by Contracting Authorities. The Supplier shall ensure that any such benchmark information is provided without breaching any Contracting Authorities confidentiality.

#### **14.6 Third Party Sub-Contracting**

- 14.6.1 The Supplier shall comply with the requirements set out in Clause 25 (Supply Chain Rights and Protection) of Framework Schedule 4 (Call Off Order Form and Call Off Terms) for Goods and/ or Services (non ICT).
- 14.6.2 The Supplier shall be the primary point of contact for all third party Sub-Contractors and shall therefore be responsible for managing, controlling and maintaining all relationships throughout the duration of the Framework Agreement and Call Off Contracts.

#### **14.7 Complaints Procedure**

- 14.7.1 The Supplier shall be aware that any complaints received by Contracting Authorities within two (2) working days of receipt of the complaint and use best endeavours to resolve within five (5) working days, or by agreement with Contracting Authorities.
- 14.7.2 The Supplier shall have in place robust and auditable procedures for logging, managing, escalating and resolving issues, complaints or problems reported by Contracting Authorities.
- 14.7.3 The Supplier shall accept issues, queries and complaints by telephone, fax, email and/or letter.
- 14.7.4 The Supplier shall ensure that all Contracting Authorities' complaints and correspondence are logged within an "issues log" to be maintained by the Supplier's designated Call Off Contract Manager. This Record shall be made available by the Supplier to Contracting Authorities to assist with performance reviews.

#### **14.8 CONTINUOUS IMPROVEMENT**

- 14.8.1 The Supplier shall make available its customer satisfaction exercise results to Contracting Authorities upon request.

## ANNEXES

### ANNEX 1- GLOSSARY

Account Management	means the Supplier's nominated person who is responsible for ensuring the successful delivery of Suppliers Record Management Service to Contracting Authorities.
Action Plan	means a document that lists what steps must be taken in order to achieve a specific goal. The purpose of an Action Plan is to clarify what resources are required to reach the goal, formulate a timeline for when specific tasks need to be completed and determine what resources are require.
Active Records	means a Record which is still actively being used and are usually referenced to on a daily or monthly basis.
Appraisal and Selection	means the identification of Records containing historical information and selecting those Records for permanent preservation
Bulk	means a large amount of Records or Data.
Bulk Scanning	means an agreement between Contracting Authorities and the Supplier to undertake specified Scanning project within a specified timeframe.
Call Off Contract Manager	means the Supplier's Contract Manager appointed to manager Contracting Authorities Contract
Cataloguer	means Supplier Personnel which shall extract information from a specific Record bringing to a specific standard and determining the description for a Record from which Metadata can be searched later using descriptions from within catalogues.
Cataloguer Project Manager	means The Project Manager who oversees the Cataloguer and Catalogue Service
Cataloguing Service	means the process of extracting information form a specific Record and bringing a listing to a specific standard, determining a description for that Record from which metadata can then be searched later using descriptions and titles.
Civil Service Year Books	means an annual reference guide to the British Civil Service and Non-Departmental Contracting Authorities.
Closed	means a Record shall be transferred to The National Archives although withheld from release for a specified time as it is considered to contain Sensitive information which is protected by legal Exemption(s) and whose closure has been approved by the Secretary of State for Culture, Media and Sport on the advice of the Advisory Council on National Records and Archives (ACNRA).
Consumables	means goods that need to be replenished, in accordance with the requirements of this Framework Schedule 2
Dashboard Report	means a high level performance report, utilising graphs and charts to indicate trends and variances in performance, covering a period to be specified.

Data	means Data relating to Record which is stored on the Suppliers Records Management System and databases.
Departmental Appraisal	means the process of identifying Records containing historical information by reviewing Records as per the Contracting Authorities organisational structure e.g. finance, HR and policy departments
Departmental Records Officer	means the Contracting Authorities representative who is responsible for all information the organisation creates and holds, and understands the value of that information from a business and legal perspective
Deputy Framework Manager	means the person(s) who deputises for the Framework Manager
Destruction	means the final stage whereby a Record which is no longer worthwhile or needed in terms of administrations, research or law is sorted and disposed of in accordance with set procedures.
Destruction Date	means the day, the month or the year upon which a Record which is no longer worthwhile or needed in terms of administrations, research or law is sorted and disposed of in accordance with set procedures
Device(s)	means Multifunctional Devices
Dip Sample	means a selection of a random sample of Records
Disclosure and Barring Service (DBS)	means the Disclosure and Barring Service (DBS) which is a non-departmental Contracting Authority of the Home Office of the United Kingdom
Disposal	means the point in a Records lifecycle when they are either transferred to an archive or destroyed and is undertaken in accordance with clearly established policies which have been formerly adopted by Contracting Authorities.
Document Repository System (DRS)	means the system utilised by Contracting Authorities and the Supplier to store and electronically re-call scanned Records. The DRS stores and manages scanned Images, Records and other types of documents.
Digital/ Digitising (Records)	means the process to convert Records into a digital format, enabling it to be processed by a computer
Document Storage Solution Development	means the process of constituting a new stage or a change in situation for a space which is devoted to the overflow storage of document files in any media
Electronic Retrieval	means the activity of electronically obtaining information resources relevant to an information need.
End to End	means the full lifecycle of Scanning Services, from intake to Destruction activity and any residual activity resulting from the Records destruction.
Exemptions	means the reasons to withhold information
Framework Manager	means the person(s) who is suitably experienced and who is responsible for ensuring that all the requirements of the Framework

	Agreement are met or exceeded and must be familiar with all aspects of the Framework Agreement.
Government Buying Standards	means the set of standards that government buyers must follow, the information about sustainable procurement and how it should be applied when buying goods and services
Government Security Classification Policy	means the system for classifying sensitive Government Data in the United Kingdom.
Government Social Value	means the way government buyers applies it thought processes around how scarce resources are allocated and used. It involves looking beyond the price of each individual contract and looking at what the collective benefit to a community is when Contracting Authorities choose to award a Contract.
Highlight Report	means a report which is sent by the Supplier's Framework Manager and Call Off Contract manager to Contracting Authorities on a minimum of a monthly and quarterly basis detailing any key issues or risks which the Supplier feels the Authority (Framework Agreement level) or Contracting Authorities (Call Off Contract level) should be aware of and progress against previously agreed key initiatives and actions.
Implementation Period	means the period of time agreed to implement the Contract and/or Service prior to Contract commencement date.
Implementation Plan (IP)	means a plan which is to be agreed between Contracting Authorities and Supplier after Contract Award, detailing the plan to implement the new service provision while also detailing actions, deliverables and timescales.
Inactive Records	means a Record which is no longer referenced on a regular basis, but must be kept for administrative, historical or legal purposes and is therefore stored in a less accessible place since it is not used frequently.
Inventory Management	means a list and or report detailing the description and or movement of a Record.
Lister	means the Supplier Personnel who will transcribe and input information from a Record into a list.
Lister Project Manager	means the Project Manager who oversees the Lister and Lister Service.
Listing Service	means the process of transcribing and inputting information from a Record into a list which shall then be transposed into a Catalogue template
Macro level Appraisal	means a process within a Contracting Authorities business function(s) between a certain time period, in order to identify information of historical importance and determine whether further appraisal techniques shall be undertaken.
Marketing and Communications Plan	means the plan agreed between the Authority and the Supplier which will detail all marketing activities including, but not limited to, producing case studies, running or attending events, direct mail campaigns, and Social Media campaigns.

Material	means wording, photographs, Images, maps or any content within the Record(s).
Mixed Appraisal	means the undertaking of a mixture of appraisal processes in order to identify information of historical importance
Off Site	means Services performed at the Supplier's premises
On Site	means the Services performed at a designated Contracting Authorities office or other location
Off Site Sensitivity Review Service	means the Supplier who shall conduct a Sensitivity Review of Record(s) at the Suppliers premises.
On Site Sensitivity Review Service	means the Supplier who shall conduct the Sensitivity Review of Record(s) at the Contracting Authorities premises.
Open	means the Record does not contain Sensitive information and therefore shall be transferred to The National Archives and Open to the public.
Page-by-Page review	means the process of identifying information of historical importance within the Record by reviewing pages within the Record.
Partially Closed	means a Record which has been released to the public, although part of that Record has been withheld from release as it is considered to contain Sensitive information which is protected by legal Exemption(s) and whose closure has been approved by the Secretary of State for Culture, Media and Sport on the advice of the Advisory Council on National Records and Archives (ACNRA).
Performance Improvement Plan (PIP)	means a plan that recognises failures in delivery and identifies corrective action(s) and timeline(s) for each targeted performance area with assigned accountability.
Permanent Preservation	means Records that contain information of historical importance that shall be permanently preserved at the National archives or Place of Deposit
Personnel	means the Personnel of the Supplier with whom the Contracting Authorities have entered into a Call Off Contract
Physical (Records)	means any Contracting Authorities file(s), supporting post or box.
Physical Storage	means a storage facility that is devoted to the overflow storage of Physical documents
Place of Deposit	means an appointed repository which holds certain classes of public Records which are not held at the National Archives
Product Range	means the range of New Equipment and Software, together with all associated and specified requirements that will be available to Contracting Authorities via this Framework Agreement.
Project Manager	means the person in overall charge of the planning and execution of a particular project.
Real Time (RT)	means systems that update information at the same rate as they receive Data.
Record	means any Contracting Authorities File, Document, Item, i.e. recorded information, in any form, created or received and maintained by Contracting Authorities in the transaction of its

	business or conduct of affairs and kept as evidence of such activity which is to be stored in the store as part of this Framework Agreement and subsequent Call Off Contracts.
Record(s) Closure Date	means the date by which information shall remain closed until the Record is re-reviewed.
Records Information Management System	means the efficient and systematic control of the creation, receipt, maintenance, use and disposition of Records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of Records.
Record-Level Appraisal	means undertaking an appraisal of Records at Record title level within the Contracting Authorities business function at a certain time period to identify information of historical importance.
Record Preparation Service	means the process conducting the careful Physical preparation of a Record to ensure it remains intact and useable for a specified time period.
Record Preparer	means Supplier Personnel which shall conduct the process of preparing a Record to ensure that it remains intact and useable for a specified time period.
Record Preparer Project Manager	means the Project Manager who oversees the Record Preparer and Record Preparation Service
Record Title Appraisal	means the process undertaken in order to identify information of historic importance from the name of the Contracting Authorities Record.
Redact (Redacted)	means the separation of disclosable and non-disclosable information by blocking out individual words, sentences, paragraphs or removal of whole pages or sections prior to release of a document.
Retained	means information deemed by Contracting Authorities as too Sensitive for transfer to The National Archives and will remain with Contracting Authorities following approval ACNRA.
Retention Status	means the status for which the Record(s) have been determined.
Review Date	means a date which Contracting Authorities has stipulated as the date at which the review will take place.
Scanning Services	means the process by which paper documents are copied and saved as digital images.
Secure Shredding	means the process used to cut paper into chad, typically either strips or fine particles in order to destroy private, confidential or otherwise sensitive Records.
Selection Criteria	means information used to select whether a Record containing information of historical importance is suitable for Permanent Preservation
Senior Sensitivity Reviewer (SSR)	means Contracting Authorities Head of Archive or alternative representative.
Sensitive	means kept secret or with restrictions on disclosure to avoid endangering security.
Sensitivity Review	means the process of conducting the review of Record(s) to identify sensitive information.

Service Levels	means the Contracting Authorities specified Service Level linked to specific functions which the Supplier is required to undertake as part of the Contract.
Social Media	means websites and applications that enable users to create and share content or to participate in social networking.
Series Level Appraisal	means the process of identifying Records containing historical information by reviewing the Contracting Authorities Records by series.
Service Lines	means the list of 6 Service Lines as defined in Framework Schedule 2.
Sift and Record Appraisal	means an appraisal which will initially be conducted at Record Title, using Selection Criteria to identify Records containing information of historical importance
Software	means the range of Software that has been specified within this Framework Agreement Schedule 2.
Specialist Records Management Service	means the Services as defined with Service Line 4 of this Framework Schedule 2.
Supplier Action Plan	means a document, maintained by the Authority, capturing information about the relationship between the Parties including, but not limited to strategic objectives, actions, initiatives, communication channels, risks and supplier performance
Supplier Relationship Management	means the discipline of strategically and operationally planning for, and managing, all interactions with Suppliers that supply Goods and Services to the Authority via this Framework Agreement or Contracting Authorities via subsequent Call Off Contracts, in order to maximize the value of those interactions.
Supplier Sensitivity Reports	means a report to the Contracting Authorities Senior Sensitivity Reviewer detailing findings of each Record reviewed and recommendations for considerations.
Terms of Reference	means the scope and limitations of a stated activity or area of knowledge
The National Archives	means the non-ministerial government department who are the official archive and publisher for the UK government and guardians national documents
Title (procedure)	means the process of identifying Records containing information by reviewing Contracting Authorities Records by the Record name
Triage Sensitivity Service	means the process of conducting the review of Record(s) to identify sensitive information and reporting recommendation(s) to the Contracting Authorities.
Triage Sensitivity Reviewer	means the process of determining the most important things from amongst a large number that require attention.
Triage Sensitivity Reviewer Project Manager	means the Project Manager who oversees the Triage Sensitivity Reviewer and Triage Sensitivity Review process.
UK Bank Holidays	means all UK Bank Holidays which are detailed in the link below: <a href="https://www.gov.uk/bank-holidays">https://www.gov.uk/bank-holidays</a>

User	means either a member of Contracting Authorities' Personnel or a Supplier employee.
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**ANNEX 2: Triage Sensitivity Review Maps**



Triage process  
map.docx

**ANNEX 3: Specialist Record Management - Consumable items**

**Consumable Items:**

Cotton Tape	The Supplier shall provide Cotton Tape to Contracting Authorities
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Chinagraph Pencil	The Supplier shall provide Chinagraph Pencils to Contracting Authorities
Plastic Ended Tags (152mm)	The Supplier shall provide Tags to Contracting Authorities
Archival Tube 10" Diameter	The Supplier shall provide Archival Tube to Contracting Authorities
Acid free envelopes	The Supplier shall provide Acid Free Envelopes to Contracting Authorities
Bubble Wrap	The Supplier shall provide Bubble Wrap to Contracting Authorities
Corrugated Cardboard 450mm x 75m	The Supplier shall provide Corrugated Cardboard to Contracting Authorities
Euro Pallet	The Supplier shall provide Euro pallets to Contracting Authorities that fit the Euro pallet specification
British Standard Pallet	The Supplier shall provide British Standard pallets to Contracting Authorities
Elastic Bands	The Supplier shall provide Elastic Bands to Contracting Authorities
Shrink Wrap	The Supplier shall provide Shrink Wrap to Contracting Authorities
Parcel Tape	The Supplier shall provide parcel tape to Contracting Authorities
Box (Small)	The Supplier shall provide boxes to Contracting Authorities
Box (Medium)	The Supplier shall provide boxes to Contracting Authorities
Box (Large)	The Supplier shall provide boxes to the Contracting Authorities
Polyester enclosure (also known as Poly Pockets)	The Supplier shall provide Polyester Enclosures to Contracting Authorities
Photocopying Paper	The Supplier shall provide Photocopying Paper to Contracting Authorities
Photocopying Documentation	The Supplier shall photocopy the Contracting Authorities Record(s)
Biro pen	The Supplier shall provide biro pens to the Contracting Authorities
Self Adhesive note pads	The Supplier shall supply self adhesive note pads to the Contracting Authorities