**REQUEST FOR INFORMATION**

**PROJECT GDPR2 - Information Rights Software**

Project Ref: OUPA10678

Intend Ref: Information Rights Software/PRO/PIN/2021

RFI Response document

**Please return this document by Noon on 29th April 2021**

|  |  |  |
| --- | --- | --- |
| The OU invites potential suppliers to respond to the questions in the RFI at an appropriate level of detail, for the OU to understand how your products and services might meet the OU’s requirements outlined in the Instructions and Project Brief document.  Please use this document to submit your response, which must not contain any promotional material. | | |
| **Respondent Details** | |  |
| Trading name of the organisation: | |  |
| Registered name of applicant if different from above | |  |
| Contact name for enquiries about this RFI: | |  |
| Job Title: | |  |
| Telephone: | |  |
| E-mail address: | |  |
| Website address: | |  |
| Company Address (please include main address for correspondence and registered office address if different from correspondence address: | |  |
| Date: | |  |
|  | **About your company/organisation** |  |
|  | Please give an overview of your company or organisation including current size, and product offerings. |  |
|  | Please give an indication of your current customer base and the types of activities/needs/objectives that they use your solutions to support. |  |
|  | Please outline your company’s experience of the Higher Education Sector. |  |
|  | **About your solution** |  |
|  | What is the name of your product?  Please read and complete the questions on functional requirements in Appendix 2. |  |
|  | Is the product modular or a single solution? If modular, what is there a minimum number of modules needed for a working solution?  NB the OU is keen to understand if we can purchase only the functionality that meets our requirements, or it only comes as part of a larger overall package. We would want to avoid paying additional costs for a solution that delivers more functionality than is required. |  |
|  | Can you outline the technical architecture of your product(s)? Are there any technical dependencies or features that we would need to consider for our deployment? |  |
|  | **Information Security and GDPR compliance**  What is your approach to IT/Systems/Data Security (including compliance with OU requirements, and how you would work alongside/with existing OU systems/data)?  What assurances can you give that your product(s) are secure, meet appropriate data protection standards or legislation, including but not limited to GDPR, and have been appropriately tested for security concerns? |  |
|  | Does your platform have APIs to support integration with other products to either allow data from other systems to be incorporated into this solution, or other systems we use and vice versa? |  |
|  | What is the roadmap for your platform?  Can you provide the future roadmap for your solution covering the next 18 months to 2 years?  How is the roadmap determined? |  |
|  | **Implementation and Support Services** |  |
|  | What support can you provide us with to get the platform up and running from a technical perspective? |  |
|  | **Resourcing the project (people)**  What support can you provide us with to get the platform up and running from a project management perspective?  What skills do you have in-house and what skills would you need to recruit from a sub-contractor?  What resources do you expect the OU to provide? |  |
|  | **Procurement timescale**  We have outlined the anticipated start date of our procurement. Are there any factors which you want to make us aware of which might affect your ability to participate in a procurement exercise at this time? |  |
|  | **Timescales for Delivery**  Our aim would be for a phased go-live starting with data subject access request and OFI request management elements of the solution. An indicative timeline is for the solution to be fully implemented by the start of the new academic year.  What are the typical and minimum timescales for implementing the solution? What might affect these -i.e. do you have any known resource constraints?  Please describe the project plan you would put in place to meet this deadline.  What assumptions you have made to be able to deliver in the timeframe? |  |
|  | **Approach to (and timing of) testing:**  What would the testing phase look like? Do you have any recommendations for testing? |  |
|  | **Approach to training delivery**  This applies to training to OU staff on the use of the systems provided, in advance of implementation and/or go live, and would include end users, and system administrators. What methods of training would you use (e.g. train the trainer, online training, training documentation) Key to this would be working with the OU to develop training for mentors and mentees? |  |
|  | **Approach to support and maintenance**  Please provide details of your approach to support and maintenance, including regular release cycle, fault management, patches and fixes, and version upgrades?  Is support and maintenance included within your license/subscription fee?  What are your SLA’s – can you provide actual SLA’s for the last two years? |  |
|  | **Risks/issues**  What would prevent your company from bidding for this contract? |  |
|  | **Indicative Costs and Licensing Model**  Please complete the table below in Appendix 1 with details of indicative costs.  Are there any other costs that we should be aware of that will impact on the viability of the service/solution during the term of the contract? |  |
|  | **Future scalability**  Please explain how your solution scales up:   1. Technically 2. For license and cost purposes – is there an enterprise agreement or a price banding scale that you can share? |  |
|  | **Framework Agreements**  Please confirm what Government/Consortium/HE Frameworks are you on e.g SUPC/LUPC consortia, Crown Commercial Services framework, ESPO etc.  If yes, do you have a framework reference number?  Would you be willing to sell licenses via the SUPC SLRA framework agreement (Southern Universities Purchasing Consortia Software License Resellers Agreement)? |  |
|  | **Overall response/feedback for the OU**  Is there any other information that you wish to provide, or you feel will benefit us? |  |

Appendix 1

|  |  |  |  |
| --- | --- | --- | --- |
| **Indicative Pricing - The following section should be completed to provide indicative costs (excluding VAT) for the following:** | | | |
| **Item** | **Capital – one off cost if applicable** | **Recurring Annual Costs** | **Supplier Notes** |
| License/Subscription costs – list each module required to meet our requirements – NB. This should tie in with your response to question 2.1 |  |  |  |
| xx | £ | £ |  |
| xx | £ | £ |  |
| **Total Licenses** | **£** | **£** |  |
|  |  |  |  |
| **Implementation Services** |  |  |  |
| Professional Services – PM, Design and Implementation | £ | £ |  |
| Professional Services – integration | £ | £ |  |
| Professional Services – data migration | £ | £ |  |
| Training – resources and range of end user training | £ | £ |  |
| Other services – please specify |  |  |  |
| **Total Implementation Services** | **£** | **£** |  |
|  |  |  |  |
| **Support and Maintenance – If you offer different support models, please list them below as appropriate** |  |  |  |
| Gold | £ | £ |  |
| Silver | £ | £ |  |
| Extended warranty/additional discounts |  |  |  |
| Other options |  |  |  |

| **Day rates**  **Please provide day rates (inclusive of expenses and excluding VAT) for the following types of consultants** | **Bidder’s equivalent job title** | **Expected skills and experience. Please state number of years’ experience (less than 1yr, 1-3 yrs, 3-5 yrs, over 5 yrs)** | **£ per day remote onshore**  **excluding VAT** | **£ per day remote nearshore**  **excluding VAT** | **£ per day remote offshore**  **excluding VAT** | **£ per day at OU premises**  **excluding VAT** |
| --- | --- | --- | --- | --- | --- | --- |
| Implementation lead (Senior Consultant) |  |  |  |  |  |  |
| Junior Implementation consultant |  |  |  |  |  |  |
| Senior Project manager |  |  |  |  |  |  |
| Senior Technical lead / design architect |  |  |  |  |  |  |
| Junior Technical lead / design architect |  |  |  |  |  |  |
| Senior Developer(s) |  |  |  |  |  |  |
| Junior Developer (s) |  |  |  |  |  |  |
| Senior Training Manager |  |  |  |  |  |  |
| Junior trainer |  |  |  |  |  |  |
| Senior Test manager |  |  |  |  |  |  |
| Senior Database administrator |  |  |  |  |  |  |
| Senior Support Manager |  |  |  |  |  |  |
| Junior Support Manager |  |  |  |  |  |  |
| bidder may add further categories if they wish |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

Appendix 2

## Functional Requirements

Please click the appropriate checkbox for each requirement. The comments section is provided for any clarification you wish to provide e.g. how a particular feature is supported in practice. Please be as brief as possible.

### **Operational Requirements**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Cloud hosted |
|  |  |  | Role-based Access Control |
|  |  |  | Case-management capabilities for requests, breaches, and complaints |
|  |  |  | Flexibility to accommodate legislative changes |
|  |  |  | Template driven subject access, complaint, and impact assessment processes |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Security**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | The service is (or can be) hosted on servers in the UK |
|  |  |  | The provider holds ISO 27001 certification |
|  |  |  | The provider has a roadmap for ISO 27701 implementation and certification |
|  |  |  | If the service is subcontracted, the downstream provider has ISO 27001 certification |
|  |  |  | (If Applicable) the downstream provider’s contract contains clauses to protect and uphold the rights of data subjects whose personal data is processed as part of the service |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Data Acquisition**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Identify data types from structured and unstructured data across multiple sources on and off premises |
|  |  |  | Automatically populate the Information Asset Register |
|  |  |  | Automatically generate a Record of Processing that meets Article 30 requirements |
|  |  |  | Automatically flag processes/information assets that will require a data protection impact assessment |
|  |  |  | Automatically identify and suggest suitable legal bases for processing of each information asset |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Impact Assessments**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Facility to start an impact assessment directly from a flagged process or information asset |
|  |  |  | Facility to incorporate and edit screening questions to identify high-risk processing that will require a full assessment |
|  |  |  | Automatically associate an impact assessment with the relevant processing activity within the record of processing |
|  |  |  | Automatically generate a risk assessment score consistent with the OU risk management parameters (see Risk Management below) |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Access Requests**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Facility to log requests, automatically manage legislative deadlines and issue reminders |
|  |  |  | Facility to create actions arising from a request and track them to support full case management |
|  |  |  | Facility to identify and collate data relevant to the request given basic data subject details |
|  |  |  | Facility to redact data not appropriate for disclosure and maintain collated data alongside disclosed data |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Breach Management**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Facility to link breaches to relevant information assets and processing activities |
|  |  |  | Cause analysis functionality |
|  |  |  | Automatic feedback to risk management functionality making relevant changes to risk scores |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Consent Management**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Facility to manage data subject consent for relevant processing activities including mobile apps and photographs |
|  |  |  | Manage consent for websites without the need for significant changes to website structure or programming |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Cookie Management**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Automated scanning and report of cookies (HTML and JavaScript), HTML 5 Local Storage, Flash Local Shared Object, Silverlight Associated Storage, IndexedDB, Ultrasound Beacons and Pixel Tags |
|  |  |  | Management of end-user cookie consents including access controlled internal sites as well as public-facing websites |
|  |  |  | Offer end-users opt-out of all non-essential cookies with a single click as well as specific opt-out options |
|  |  |  | Automatic cookie policy generation based on discovered cookies |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Risk Management**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Facility to configure for the university’s risk appetite and risk management parameters |
|  |  |  | Automatic risk scoring from risk and impact descriptors |
|  |  |  | Facility to record, issue actions from, and report on organisational risk across all operations |
|  |  |  | Facility to monitor and report on ongoing maturity of the privacy framework |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Third Party Management**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Facility to issue supplier questionnaires and manage and record responses |
|  |  |  | Facility to re-assess and record third party performance at regular intervals |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Monitoring/Audit**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Automatic logging of all actions taken within the software package along with the associated user ID |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Reporting**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Dashboards showing performance including response times for requests and breaches, request types, breach causes, organisational risks and compliance progress |
|  |  |  | Facility to export reports in multiple formats (PDF and Excel as a minimum) |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments:

### **Transitional requirements**

| **Y** | **P** | **N** | **Requirement** |
| --- | --- | --- | --- |
|  |  |  | Migration of existing data |
|  |  |  | Assistance with management of the migration process |
|  |  |  | Training for all users and administrators of the system |
|  |  |  | Ongoing support |

**Y = Requirement met**

**P= Requirement partially met**

**N = Requirement not met**

Comments: