

Design, Print, Fulfilment and Distribution London Elections 2016, Mayoral Address Booklet

TfL Reference Number: TfL - 91797



Financial Data Management (FDM)

Complete Technical responses

Appendix 1 – Data - Max 2 sides A4 (11 pt font)

FDM processes the polling card data and postal voting data for 23 of the 32 London boroughs. This data will be the same data to be used for the Mayoral booklet mailing. We have over 15 years experience in transferring, processing and outputting data from the 3 EMS (electoral management software) systems – Xpress, Halarose, Idox. For most London boroughs we already have secure approved channels for receiving data and for the remaining boroughs we would work directly to set-up a data transfer route on award of the contract. Our preferred method of transfer is SFTP although we will work with each authority to meet their IG requirements.

For at least 23 of the London Boroughs FDM will have already had the electorate data sent to us for the production of polling cards, and would therefore not need to repeat the process of outputting data twice. We would simply get written confirmation with each borough that they are happy for the poll card data file to be used. Another advantage would be that the data is sent to us in early March and at this stage we would be in a position to resolve data queries.

All electoral address data as we receive is PAF processed to ensure addresses qualify for maximum royal mail postage discount. However we do not run further suppression processes on elections data. The reason being is that as all data is coming from the electoral roll legally extracting addresses at this stage would not be permissible. We do verify with all boroughs that the data supplied is the complete number of records that must be printed. If requested we can also extract specific records at the request of clients.

As a company that regularly receives sensitive and confidential items, FDM plc has developed strict data security procedures to ISO27001 standards to ensure protection of elector information at all times.

FDM has a dedicated Information Security Officer, an Information Security Policy and has implemented an Information Security Management System, the scope of which includes:

1. Secure data transfer

As standard, FDM set up a secure FTPS(SSL/TLS) account for transferring client confidential data. It uses password and public key authentication with strong data encryption, which prevents login, data, and session information from being intercepted and/or modified in transit. Our Secure FTP server has HTTP/S which means that anyone can transfer files via their web browser just like standard FTP.

2. System security

FDM's IT infrastructure is protected by a firewall and reputable, proprietary security software. Security checks on the server are performed daily and automatic virus checks are activated on every desktop. The use of unlicensed software on FDM's IT systems is expressly forbidden, as is the installation of programs on individual desktops unless authorised. FDM's SFTP server is a dedicated machine, separated from the main FDM server. Clients have their own username and password to their specific folder. At the processing stage, the downloaded data is stored in secure directories set up for individual clients, in separate 'Data In' and 'Data Out' folders, after which the FTP files are deleted.

Data is accessible only to those employees who are directly involved in fulfilling the work – i.e. the dedicated data processor and the Client's Account Manager. A specific code is assigned on a daily basis to the data in order to track its progress through the production stages. Once processed, the data is transferred to print via secure connection. All users are responsible for their own PC passwords. Password changes are automatically prompted on a 3 monthly basis and old passwords will automatically become inactive after 1 week. All PCs are automatically locked with screen shut down after a 3 minute period of inactivity. In order to protect FDM's systems from corruption, viruses and other forms of intrusion, FDM operate the Antivirus on all PC's, Daily backup routines and our network protected by Cisco ASA5505 Security Plus firewall.

3. Data retention

FDM's standard procedure is to hold data for three months, unless specifically requested by the client to be kept longer. Strict procedures are followed for the physical destruction of media. Electronic storage media is sanitized appropriately by overwriting or degaussing prior to disposal. Media that will not be re-used will be physically destroyed so that data cannot be retrieved. ISO27001 procedures include a data log for monitoring data retention and destruction.

4. Confidential Waste

FDM's document destruction processes are designed in line with BS8470 to comply with the confidentiality requirements of public sector organisations. Sensitive documents intended for disposal are stored separately in marked containers while on site. FDM is able to shred documents on site to Level 3 security shredded standard (shredded strips under 2mm). Work requiring shredding to Level 4, is shredded on site using our fully audited

contractor, Shred-it, ensuring an unbroken chain of custody. FDM has a signed confidentiality agreement and receives a certificate of destruction upon completion.

5. Data back up

FDM has full data backup services and policies. All systems, including development environments are backed up once a day and a copy transferred overnight to an off-site contingency server held by Solsis (FDM's IT back-up service). This system is tested every 6 months to ensure restore capabilities are fully functional. In the event of Primary Server failure control of the network will automatically switch from the Primary Domain Controller (PDC) to the off-site Back-up Domain Controller (BDC). The BDC is always in synchrony with the PDC and has the same security controls. In the event of any of any level of disruption, data will be available within 2 hours.

6. Compliance

FDM is registered with the Information Commissioners Office (ICO) and complies with the Data Protection Act 1998 as follows:

- Personal data is processed fairly and lawfully – FDM does not process any data without agreement with the client. FDM provides a full written specification and/or copies of proofs for client approval before processing any data.
- Personal data is processed to client requirements, and is not processed in any manner incompatible with that purpose.
- Personal data is appropriate, relevant and not excessive in relation to the purpose or purposes for which they are processed – all data is supplied to FDM by clients.
- Data is not kept longer than necessary.
- Appropriate technical and organisational measures are taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.
- FDM processes all documents in-house, eliminating risk from third party handling.

7. Physical security

No printed document must leave the premises or be left in an unsecure environment without approval from the Managing Director. To protect all documents FDM has the following site security:

- Security control at entrance to business park site.
- Restricted access to authorised personnel throughout FDM building.
- Restricted access to defined secure areas.
- Data is stored and processed on a separate network from day-to-day activity.
- Locked, restricted access to IT server room.
- Caged, locked area for storage of sensitive materials and secure working, covered by CCTV.
- Clear desk policy and all sensitive work kept in closed cupboards.
- All sub-contractors and suppliers are required to read and sign FDM's information security agreement.
- CCTV cameras monitor sensitive production areas and all external areas, on 3 month record.
- Appropriate security checks and audits carried out regularly.
- All visitors and deliveries to log-in at manned reception area

8. Staff security

FDM complies with BS7858:2006 and undertakes the following checks and procedures prior to employing staff:

- Establishes by direct reference to former employers, government departments, educational authorities, etc., with confirmation in writing, a continuous record of employment or history for 10 years.
- The applicant is required to declare details of all cautions and/or convictions for criminal offences, including motoring offences and pending action not covered by the Rehabilitation of Offenders Act 1974
- Two written character references from two relevant persons with personal knowledge of the person being screened (one should be the most recent employer wherever possible)
- The company requests to see either an original birth certificate, marriage certificate (where relevant), or military service documents or valid full passport
- Checks eligibility to work in the UK
- Driving licence and checks driving history
- Professional licenses and certifications are checked
- Medical (including drug and substance abuse) checks if required.
- All staff are required to sign a confidentiality agreement in relation to the sensitivity of elections information handled by FDM.
- All new staff receive information security training as a part of their induction program.

Appendix 2 – Design

Our recommended methodology would be for FDM's lead designer to work in partnership with the GLA team to agree the artwork production for the mayoral booklet. Working within brand guidelines our project manager, our lead designer and the GLA team would jointly form the team that created the designs for approval by other parties. Keeping the design in-house would offer a number of advantages including having full control of the project and also keeping costs to a minimum.

On award of the contract the project manager and lead designer would meet with the GLA team to discuss any initial ideas. FDM's lead designer would bring some initial layout concepts to this meeting. Being based approximately 20 minutes from city hall we would expect to work closely with the GLA and meet frequently during this period. Our London Docklands site and our proximity to the GLA team would also be a great advantage as meetings can always be arranged at short notice at critical parts of the design process.

FDM's in-house design team is experienced of working with external design teams and working from a design brief complying with brand guidelines. We regularly take a design project from initial concept to finished printed document. We are also highly experienced in typesetting artwork that has already been designed and converting into a print ready format. We design a number of monthly public sectors periodicals and public information leaflets for the NHS, these documents are mailed to large numbers of the public with clarity and accessibility of information being paramount.

FDM was the contractor responsible for project managing, printing and mailing of the mayoral booklets mailings for LB Newham (2010, 2014) LB Lewisham (2010, 2014) LB Tower Hamlets (2010, 2014, 2015) LB Hackney (2014). These projects were complex in that it was a mix of working with in-house design teams, design the booklets from scratch and handing 4 different booklet artworks each with a different pagination.

Our designers have vast design expertise in elections materials and have a clear understand of the limitations and requirements within the printing process. The team are aware of the unique design aspects of mayoral candidate booklets and that the timescales are dictated by the electoral timetable. The key aspect being that only at the point that number of candidates is fully confirmed (i.e. the date for the withdrawal of candidates) is the point that the final pagination of the job is confirmed.

This has presented challenges in the past as pages have had to be added / removed at the last minute to ensure the booklet is a pagination that can be produced to the timescales. We will work with the GLA team to provide several pagination options with variable page numbers which can be adjusted once the final number of candidates is known. This full-control over the artwork from start to finish for pagination enables us to mitigate risk and ensure that key no fail deadlines are achieved. This includes the key 'no fail' deadline that the booklets arrive before the postal ballots are issued.

A recent example of working with a client was in a high profile 2015 rerun of the Tower Hamlets Mayoral election and FDM coordinated the design between:

1. The in-house designers style requirements and borough identity.
2. The technical issues that the candidates themselves supplied
3. The need to offer different pagination and options
4. Advised on cost saving printing options

To commence the process we provide a clear print ready artwork specification to all the candidates and parties. This ensures that when the final artwork is provided by parties we reduced the number of incorrectly supplied documents including missing bleed / incorrectly placed crop marks etc. FDM then pre-flight artwork in advance of the final artwork deadline this also helps reduce some of the common resubmission reasons like identifying early the supply of low-resolution images. We have previously liaised directly with political parties design teams regarding supply of artwork and would be happy to do so but would prefer in this instance that all artwork queries are directed to us via the GLA.

As FDM are used to working to tight deadlines we are fully versed in the requirements and constraints within electoral print including the use of party political neutral colour schemes and other legislatively sensitive design restrictions. Our main design packages we use are Quark, Adobe In-design, Adobe Photoshop, Adobe Illustrator

We work regularly with various public sector clients to produce booklets and sensitive documents including sourcing images, fonts and layout ideas. Will can advise and discuss page composition to ensure that messages are delivered clearly whilst maintaining a professional finish.

Another working example of our work within the field of elections would be where FDM designed all the cabinet office training materials for individual electoral registration. During this project FDM worked with the brand guidelines as laid out by the cabinet office for Individual elector registration then liaised directly with the AEA (association of electoral administrators) who wrote and compiled the training course materials. This 3 way liaison produced an excellent product that was rolled out to every local authority in the UK.

We would be happy to host group meetings at the FDM premises with other stakeholders such as the electoral commission and IntElect to review the artwork and design proposals.

Appendix 3 – Print and Fulfilment

The specification of our solution would be:

FDM PLC will print at our East London print site 6m A5 address carriers – this A5 sheet would contain elector name and address, Royal Mail Mailmark Barcode and returned mail tracking barcode (and potentially a GLA information message regarding the contents of the envelope set).

FDM will enclose the address carrier along with the booklets into a windowed outer envelope maintaining Royal Mail sortation order throughout.

FDM will ensure all postal voting electors receive their booklets well in advance of the despatch of postal voting packs. The majority of which are being dispatched by FDM as a separate exercise direct, for 23 -25 of the London boroughs. This means FDM can make certain that every borough will receive their booklet well before their postal pack.

There are a number of advantages why we would use a laser printed address carrier rather than inkjet address direct to the envelope:

1. Clarity of print (important for the new Royal Mail barcode quality requirements) will ensure the GLA receives the highest possible postage discount
2. It offers scope for a message to be printed on the face of the address carrier, to briefly explain the contents of the envelope set.
3. It allows for a unique 2D barcode on the address carrier containing the recipient address in code
4. It allows for the returned items to be scanned by electronic scanner which will automatically capture the address of each returned person and provide a complete record and management controls for the end of job reporting.
5. It will eliminate the risk of envelopes with addresses on, being destroyed at booklet enclosing.

Our proposed job management solution would be as follows:

- FDM to appoint overall Bob Rogers our production manager to control the project ensuring all milestones are being achieved by all parties. Bob has 10 years experience is planning and production of elections projects for the recent general election Bob oversaw the printing / mailing of over 40m items.
- Leading the booklet and envelope printing our print services manager John Lydon who will lead the printing of the booklet.
- Our Data Services manager Joseph Hancock would be responsible for the management of the data and fulfilment side. He will liaise directly with the authorities with regards to provision of data and timetables.
- Our designer Rene Oberholzer will work with GLA to produce print ready booklet artwork from candidates and GLA design team
- FDM will subcontract the printing of booklet to one of our prime web-print partners, with whom we have produced tens of millions of items for critical deadlines using this methodology. We will agree a critical path with our supplier and have confidence and wide experience in working with our UK partners– (For several reasons FDM would not recommend overseas subcontracting of printing of the booklet to save on cost as due to no-fail deadlines and timescales the printer's ability to meet our mailing deadlines must be of paramount importance.

- FDM will conduct meetings / site visits on to ensure pre-planning and preparation
- On sign by the GLA off FDM to visit Web Printer to oversee initial stages

Stock Management

The overall project lead Bob Rogers would book all stock for this project. The key stocks would be reserved as soon as possible:

- Address carrier stock and initial booklet paper – November 2015
- Envelopes ordered – January 2016

FDM will use Tharstern print management software to manage the production of this project. Tharstern is leading job management information software that enables complete control of a print and design from start to finish. It analyses critical job path, resource allocation, stock control and also provides live real time production information. All members of the project team will be able to see the status of every aspect of the project.

This is a proved solution we have used for the London Borough Mayoral elections in both 2010 & 2014 (LB Hackney, LB Newham, LB Lewisham, LB Tower Hamlets).

Advantages / added value print managed in-house solution:

- Full control over all aspects of the job to guarantee meeting no fail deadlines
- Cost control
- Ability to organise meetings a short notice with all stakeholders
- Minimise delivery costs – London based operation delivering direct to London Royal Mail IMC's
- Minimise distance packs travelled – Environmental aspect
- Reduction in risk from compatibility issues – are booklets / addresses produced to be compatible with mailing machines etc
- Full-scale production tests possible

All data carrier sheets will be printed in advance on carrier sheets which is a faster method printing and will ensure all data is ready for the delivery of the booklets.

The enclosing of the booklet will be carried at FDM's data site using our high speed enclosing machines which will meet a daily target in excess of the volume required.

All booklets delivered to FDM site in a controlled manner from 9th April 2016.

Plant dedicated to this project

From our plant list the dedicated machines we would specifically book for this job would be:

3 x Xerox Nuveras - each producing 16,000 address carrier's per hour – approximately 1m items per day.

4 x Pitney Bowes and Kern Mailing machines – 12,000 – 16,000 items per hour per machine

Our DR and support partner MBA based in North London if required can provide both lasering and enclosing support to ensure the must hit deadline is met.

The resources allocated job would be exclusively used for this job from project start to finish.

Appendix 4 - Distribution and Despatch

All mail once collected from the FDM site in East London, will be directly transported to the Royal Mail London IMC's (inward mailing centres) and our service level agreement with Royal Mail is that 90% will be delivered next day with the remaining items delivered the following day. Our geographic position effectively gives us a first class postage service for the bulk of the mailing items. We also deal directly with Royal Mail from a mail forecasting perspective so that Royal Mail can take all relevant steps to ensure they are operationally ready for the items we are despatching.

FDM use FDM Mail our own Downstream Access (DSA) as the preferred option for sending out mail. In terms our DSA agreement within Royal Mail, all DSA mail gets prioritised at all mailing centres. FDM already have a standard daily delivery of mail and all completed mail will be released as it is completed being freighted each night direct to each London inward mailing centre.

FDM's focus will be on releasing the postal booklets with the first 3 days of enclosing (planned to start on 11 Apr) so that it will arrive at the recipients addresses. After the postal's. the remaining booklets will be released daily as per the schedule. To provide additional savings – circa £22000 based on up to 96,000 late registration polling cards, FDM can enclose the booklet with the polling card up to Friday 29th April whereby the last booklet collection will be received by the recipients on Mon 2nd May.

Starting from 11 April FDM will enclose across designated enclosing machines (plus back ups). The project will involve enclosing and mailing approximately 400k items per day to complete the total exercise in 15 days. This phased delivery of booklets will be essential to manage the process and FDM will update the borough accordingly of when the booklets are likely to be with electors.

FDM will have special engineering support in place from our machine suppliers, to ensure efficient and rapid response in the event of machine problems. Our elections projects are all operated on a no-Fail methodology and our entire operation is operated on this ethos. 90% of the mailings we do are for local and other government departments and every single mailing we do has a legal deadline and for this reason our operation and contingencies are built with this in mind.

The production reports will be evaluated daily to ensure all mail released from the FDM premises is accounted for and on track. Should there be any discrepancies or problems, FDM will enquire on the cause of the delay and the expected time taken to clear the backlog at Royal Mail.

Keeping to targets within the FDM operation will be monitored daily to ensure the daily targets are met and appropriate steps will be taken to ensure production is on track.

Furthermore, with the use of Mailmark and the reporting structures available from Royal Mail of the jobs going through their system, up to delivery walk level, so FDM will be able to track the mail up to the day before the mail is due to land at the recipients addresses.

FDM operate an accredited ISO9001 Quality Management System and work to ISO27001 standards to effectively manage and maintain the quality and security of every document through FDM's entire workflow. FDM use the market's leading job management system 'Tharstern' to automatically progress projects through the system. Tharstern builds in project flexibility, reliability and schedules, tracks, validates and reconciles at every stage of the document 'journey,' from receipt of data through proofing, printing, enclosing and postage. Job Reports are generated directly from Tharstern, giving real-time information including record and page quantities before and after processing for 100% reconciliation.

In addition to electronic tracking, each job is trailed with an auditable paper Job Bag that is physically signed at every production stage by each operative. This starts at artwork receipt and proofing then moves to the account manager and once proofing and specification, including print run totals have been verified with the client, the job moves through the production processes of printing, lasering, fulfilment and final delivery. Any unacceptable proofs or those not aligned to the original specification will not be passed onto the next process until it is rectified by the machine operator and the account manager.

FDM's Mailing QA and reconciliation process is as follows:

1. Data processing

- The account management team raises a 'Job Bag' and 'Production Control Sheet' (PCS) for every job received, as soon as the client has provided a list of the data files and quantities on a 'Data Despatch Form.'
- The data processor verifies that quantities after processing tally with the figures provided.

2. Laser printing

- Live proofs for each run are provided back to each borough for sign off.
- clients are able to request to check specific records within the print file at this stage.
- For tracking of mail items each page is printed with a unique sequential number and page identifier, in addition to optical marks where relevant.
- On completion, last records are reconciled using the document's unique sequential number.

3. Enclosing

- The operator encloses mail packs as per the PCS, using codes to ensure correct personalised item(s), inserts and envelope products are used.
- Checks are made every on 500th pack for content, correct window/address fit, secure sealing and general quality.
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4. Transition

- After the job is completed, a machine count is obtained, which must tally with the 'Processed Job Report,' 'Job Bag,' 'PCS' and Tharstern, before being released.
- The machine supervisor checks, signs, dates and times the 'Job Bag' and 'PCS' so that in the event of an error, there is a full audit trail. Any machine wrecks are carefully recorded, reprinted and enclosed to ensure 100% reconciliation.

5 Returned Mail

- Each outgoing mail piece is printed with a 2D Barcode containing key document information.
- If the mail is returned to FDM undelivered this allows us the opportunity to scan that mail item and log it electronically in a spreadsheet. We will be able to identify which authority it came from, the reason it was undelivered and the recipients name and address.
- We would then periodically send a spreadsheet to each authority with their undelivered and other management information.

This process ensures FDM have a fully auditable traceable process that can be used to track mail from receipt of file print through to the final operational detail that Royal Mail provide.

Appendix 5.1 - Your Organisation's Function

FDM is one of the leading printing and mailing providers to the UK's electoral services market. In both 2010 and 2014 FDM undertook the booklet production and simultaneous mailing for the Mayoral candidates for London Boroughs of Newham, Tower Hamlets, Hackney and Lewisham to over 1,000,000 electors.

With 90% of our work coming from time critical public sector mailings with legally enforceable deadlines we constantly work on no fail projects and in 2015 approximately 25% of the countries electoral services chose FDM as their supplier.

Every national election we print and mail in excess of 10 million polling cards and postal voting packs over a 20 day period. We provide election printing and mailing services to 23 London boroughs and are fully conversant with their data systems and requirements.

FDM fully understands government election legislation relating to canvass printing and have developed strict bespoke procedures that support our in-house capability that ensures complete data production control from start to finish; fully managed by FDM's sophisticated production management system, 'Tharstern.' Tharstern accurately and electronically schedules all work to meet the required deadlines and manages the document 'journey' from receipt of data through pre-printing, lasering and enclosing to final posting with every stage automatically captured, recorded, validated and monitored in a real time environment.

In excess of 90% of our work is government and local government based and we work with highly sensitive data projects including ICO and critical services daily for CrossRail providing a holistic management for their design, print, fulfilment and delivery

FDM has an entirely in-house production capability that radically advances the way in which printed communications are carried out. For the production of lithographic print of this volume we would work with our chosen web partners who have meet our quality procedures and methodology standards.

At our East London production facility FDM operates a wide range of digital and inkjet presses that are able to meet the specification requirements and produce a high quality finished product within the allotted timescales. FDM are a Crown Commercial Service supplier for both print and for postal services.

Our volume of printed output exceeds 1,000,000 A4 pages per day. Our machines are well equipped to accurately reproduce images throughout the print run and across a Council's entire range of branded materials. Every sheet is ISO9001 quality controlled from start to finish, including colour, registration, pagination, finishing, trimming, labelling and packing.

FDM is a Xerox Premier Partner and our state-of-the art laser printers provide high speed fully variable, multi-page documents in either black and white or colour. FDM's laser printing capacity exceeds 2 million print images per day, using 6 Xerox high speed laser printers, with enclosing capacity for over 1 million packs per day, using 8 high speed intelligent matching and enclosing machines.

FDM mails over 40 million mail packs every year, and our printers are complemented by our fully automated mailing systems which intelligently match and enclose multi-page documents with selective inserts, ensuring that every record is produced accurately and posted on time.

FDM is unique amongst mailing companies. Not only are we a complete in-house print and mail operation, we are a fully licensed Downstream Access provider with Royal Mail, giving Councils access to the lowest possible postage rates (lower than RM Low Sort and Cleanmail Advance). To achieve greater savings, FDM sorts every outgoing envelope set using our leading-edge electronic mail sorting equipment and then transports directly to Royal Mail inward mailing centres for final mile delivery.

As a London based company FDM would only be transporting the enclosed envelopes sets a short distance from our base in Canning Town to the London Royal Mail distribution centres therefore reducing risk and environmental impact for this mailing.

All stock is stored onsite at FDM's 260,000 sq foot production facilities within the dedicated warehouse area. The warehouse is within a modern, purpose built building which is dry, temperate and made with fire proof materials. Floor to ceiling racking ensures that all documents are stored in a fireproof/waterproof environment.

As with all our elections contracts FDM would look to nurture a partnership approach with the London elects team and FDM would be fully accountable for all stages of production.

We are a trusted print and mailing partner for over 23 London boroughs and our unrivalled knowledge of the elections market coupled with our significant printing and mailing capabilities means we are seen as the safe pair of hands who has a proven track record of never missing a deadline. This is the reason our customers use our services year after year.

Appendix 5.2 - Project Plan

FDM will drive the project, ensuring all parties are aware of their responsibility, risks are identified and managed, and that appropriate resources are always available. FDM will manage the contract using clear PRINCE2 methodology to capture all processes and implementation activities. We will work hand in hand with the GLA to agree a communications plan, reporting requirements and frequency of reporting.

FDM will provide accurate and comprehensive management information throughout the implementation and ongoing contract delivery to ensure that the GLA stays in control of the end-to-end process. FDM will also manage and maintain a project plan in electronic and hard copy formats relating to the services provided, including all technical documentation, operational scripts, change control documents, DR and Security information, SLA etc

Upon contract award FDM will meet with the GLA to discuss requirements and agree a detailed timetable.

Based on the information to date, an outline implementation timetable is as follows:

- Contract Initiation (October – November 2015) -This stage involves detailed planning, working with the GLA to confirm timelines and phasing, compiling technical documentation and setting up the programme framework and project teams. This will include members of FDM's management team.
- Assisting with design of Booklet (October – April) — During this period FDM will work with the GLA and design agencies to clarify our requirements for the printed booklet.
- Printing and addressing of Envelopes (1 March 2016 – 7 April 2016)
FDM recommend that we liaise directly with the London boroughs in December 2015. We already have a meeting arranged in November with the majority of the London Boroughs to discuss key data / printing dates for next year GLA election. We will advise all boroughs how and when we would expect to receive batches of data, the format, the split between postal votes and non postal and any issues relating to overseas postal votes. Also at this stage how we will be reporting back undeliverable addresses.

FDM will receive client data files for testing from 1 February for polling cards and we will agree a timetable of data receipt and the manner data will be presented from the various software systems. We would also confirm with each borough whether this same data can be also used for the 1st batch of mayoral candidate booklets.

The production of all address carriers will be complete by Thursday 7th April awaiting enclosing.

- Mailing of Booklet – (postal voters – 9th April 2015 – 13th April 2015) Subject to timely sign-off of the booklet artwork FDM will begin enclosing the booklet on Saturday 9th April. We will prioritise the postal voters from each borough and beginning handing over to Royal Mail from Monday 11th April. FDM will brief each council on which day the booklets have been mailed to prepare the local authorities call centres for potential calls arising from the booklet drop. All booklets for postal voters will be handed over to Royal Mail by 14th April allowing us a contingency in case of unscheduled delays to artwork.

Please note: At the time of writing our understanding is we will not receive the ballot papers to mail the postal voting envelope sets themselves until Monday 18th April 2016. Therefore we would not begin mailing until the 20th of April at the earliest. If there were any delays to the to these packs due to software or other issues, we could ensure that postal voting packs were only posted for those voters where the candidate booklets had been sent. We will to liaise with Intellect to confirm this date.

- Mailing of Booklet – (regular voters and subsequent run) – Once the packs have been mailed (or enclosed) for the postal voters then we would continue enclosing the booklets destined for the polling station voters. These would be handed over to Royal Mail on a daily basis with local authorities being informed as to when bulk batches were scheduled to land on doorsteps.

FDM added value and cost savings

As we are already receiving the final run polling card files from local authorities we would be able to add the mayoral candidate booklet into the same envelope set. This would not only ensure there is no confusion for the late registration voters as they would be simultaneously receiving both their polling card and mayoral booklet but would also realise postage savings of £20,000 - £30,000 for the GLA these figures are based on projected late registration figures from previous elections.

- Returned Mail (Commencing from 12th April) – All outgoing items would have the FDM London PO Box as the undeliverable address. FDM will arrange with each local authority on how they would like to receive information relating to undelivered booklets. From experience it is unlikely we would start receiving these back from Royal Mail until W/c 25th April 2016. We would compile these to a data file and upload them directly back to the local authorities.
- Reporting (May 2016) – FDM would be able to provide full reports on both delivered and undelivered items.

Meetings and Calls

FDM would organise monthly meetings to be held at the site in Docklands or City Hall. At this stage the project manager would go through key milestones for the month. A fortnightly conference call would also be scheduled to ensure that deadlines are being achieved and SLA's are on target to be met. Our designers are London based and would be happy to travel to City Hall or alternatively host meetings at our London site.

Project Plan with Amended FDM Milestones (in Bold)

Milestones	Dates	No. of days	Owner
First kick off meeting (GLA and Supplier)	Late Oct 15	1	GLA and FDM
Provision of factual info to FDM	Late Oct 15	1	GLA
Layout booklet (initial flat plan) – followed by rounds of approvals and amends involving the GLRO, Governance and Legal teams	Late Oct – Mid Dec15	12 weeks	FDM & GLA
Candidates submit informal content	Nov 15 – Feb16	4 - 16 weeks	Candidates
Candidates reminded of content deadline	Jan – Feb 16	8 weeks	GLA
Envelope artwork designed and finalised	Jan – Feb 2016	5 Weeks	GLA / FDM
Envelopes Ordered	15th January 2016	1 day	FDM
Candidates provide final content	21-31 Mar 16	9 days	Candidates
Final Decision Made on Volume of stock to be ordered based on projected number of candidates	1st March 16	1 day	GLA / FDM
FDM to liaise direct with Local Authorities ensuring supply of 1st run elector data	1st March – 14th March 2016	14 days	FDM / ERO's
Sign-off of all address carriers	14th March 16	1 day	FDM / ERO's
Printing of address carriers for envelopes	14th March 16 – 30th March	10 days	FDM
Layout booklet (penultimate drafts) including approx. three rounds of approvals and amends	Mar 16	30 days	FDM
Candidate withdrawal deadline	5 Apr 16	1 day	Candidate(s)
Layout booklet (final full draft)	5-6 Apr 16	2 days	FDM
GLRO/Governance/Legal/candidates final approval	5 – 7 Apr 16	2 – 3 days	GLA
Final artwork to printer	7 Apr 16	1 day	GLA
Final Sign off of Print proof of booklet	7th Apr 16 (5pm)	1 day	FDM / GLA
FDM Print booklets	7 – 11 Apr 16	5 days	FDM / Subcontractor
Booklets stitching	8 – 15 Apr 16	5 days	FDM / Subcontractor
Delivery of Booklets to FDM (500k batch)	9 Apr 16	1 day	Subcontractor
Delivery of Booklets (Remainder)	11 – 16 Apr 16	6 days	Subcontractor
Enclosing of Postal Booklets	9 – 13 Apr 16	5 days	FDM
Despatch (to ensure booklet reaches postal voters at the same time as their postal votes)	11 – 13 Apr 16	4 days	FDM
Deliver to postal voters (1st batch est. 1mil)	13 – 18 Apr 16	8 days	Delivery provider / FDM
Boroughs deliver postal vote ballot papers	20-22 Apr 16	8 days	Boroughs
Deliver remaining booklets to voters (2 nd batch – polling station voters, late registrants and delivery to boroughs for very late registrants if necessary)	11 - 29 Apr 16 which is final, last date for delivery	19 days	Delivery provider / FDM
Election day	5 May 16	1 day	

5.3 Sub-Contractors

With a completely in-house capability, FDM has provided the flexibility, control and accuracy that all election projects require for over 15 years. Where possible FDM's elections printing and mailing contracts are carried out entirely in-house at our East London site. The only part of this project we would outsource would be the printing booklet FDM and FDM would use one of our approved web print suppliers.

FDM performs a detailed approval audit prior to taking on any web printings suppliers, which is repeated on an annual basis. The audit includes:

1. Capacity and capability, including innovation and creativity
2. Track record
3. Financial health and capacity
4. Key policies and systems covering
 - Quality management
 - Corporate and social responsibility
 - Environmental management
 - Health & Safety
 - Physical & IT security
 - People management and development
 - Equality and Inclusion
 - Business Continuity Planning
 - Project and Risk Management
 - Competitiveness, in terms of pricing and the delivery of ongoing efficiency gains
 - Commercial and legal terms

Prior to the beginning of this project FDM would agree KPI's and SLA's which are regularly reviewed through: management information; account development plans; regular, documented review meetings; benchmarking; and annual audits. In addition, FDM will provide it's sub-contractor with detailed print specifications to ensure that the quality meets our own and the customer's high standards. Failure to deliver to these specifications and/or the agreed KPI's for the specific end customer would invoke a detailed quality audit to assess what had gone wrong, how it could be addressed and a detailed rectification plan agreed with the sub-contractor. Failure to satisfactorily comply with this plan would put the sub-contractor at risk and FDM would discuss with the customer the potential movement of services to a new supplier.

During key milestone periods FDM's project manager would be on-site at the nominated sub-contractor and oversee in person the processes that are normally carried out at FDM's site. As FDM has in-house print facilities all FDM project management staff are familiar with printing processes and will ensure that our own strict procedures are being followed.

FDM operates a closed loop corrective and preventative action system for monitoring and rectifying quality failures. In the event of a concern, a Non-Conformance Report is initiated. The supplier must respond to all status and information requests in relation to non-conformance within 4 hours, as follows:

1. Non-conformance identified by FDM or a customer of FDM.
2. FDM will issue a request for corrective action to the supplier.
3. Suppliers are required to provide a containment response to FDM within 24 hours/1 business day.
4. Supplier will provide a root cause and corrective action plan response within 7 calendar days, unless otherwise specified.
5. Supplier will provide evidence of effectiveness of corrective action within 30 calendar days

Corrective Action responses shall include:

- Immediate Action – The supplier must communicate containment actions aimed at protecting FDM and our customer from repeat issues, within 24 hours of being notified of an issue. Actions should identify a responsible person and due date. Suspect material should be identified, labelled, and quarantined. Quarantine and containment actions must consider product in on-site inventory, distribution centres, in-transit and at customer locations. Tightened process controls should be added to ensure on-going manufacturing can proceed without passing along further defects to FDM, and should be maintained until permanent corrective actions are in place and determined by FDM to be effective.
- Root Cause Analysis – The supplier will communicate details of the evaluation, root causes, and contributing factors within 7 calendar days of being notified of the issue. Investigation can begin by reviewing defects found in containment, evaluating process paperwork, and inspecting on-going production. Identification of root causes should include reviewing non-conformance, detection failure, and system failure. Root Causes should be numbered and should align with corrective actions listed later.
- Corrective Actions – The supplier report must detail short and long term corrective action plans within 7 calendar days of being notified of the issue. Actions should identify the responsible person and due date, and should directly related to previously identified non-conformance, detection, and system root causes. Work instructions, control plans, process inspection checklists, visual work standard, and other quality documentation should be considered for updating. Training of affected team members should be completed. Closure of an NCR is at the discretion of FDM, upon review of verification results. In the event that the NCR is not completed satisfactorily, FDM may follow up with a site visit to the supplier to carry out concern evaluation and satisfy itself that suitable action has been taken.

5.4 Payment Plan

Our proposed payment milestones would be as follows:

1. Due to the uncertainty relating to paper mill prices, and to ensure manufacture of the paper to our specification, we would require a pre-payment of the booklet paper cost – estimated 60% of booklet cost. Payment terms within 28 days. (FDM will liaise with paper mill but due to the tonnage of paper required it may be that the deposit will need to be paid in November to fix the paper price for April).
2. We would issue a weekly postage invoice upon despatch of items and payment terms for postage would be within 7 days as per Royal Mails terms.
3. Design costs, envelopes, insertion and printing of booklet cost to be invoiced on final completion payment terms within 28 days.

Should any of the above be unachievable due to funding timescales FDM would be pleased to discuss further with the GLA?

Appendix 6 - Managing Risk

FDM is fully conversant with all statutory deadlines relating to the election process will work closely with GLA to identify risks and implement effective control measures, focussing on understanding risks, including risks from data security breaches, through a 5 step procedure during project set-up.

Keys risks for this project would be:

- Missing statutory mailing deadline
- Data problems including incorrect output
- Problems in the postal markets
- Printing quality issues

Considering these key risks will influence the process by which we will carry out the contract. In conjunction with strict data and document security procedures to ensure protection of customer information at all times FDM will evaluate each risk using our 5 step process:

1. Identify - FDM determines the project objectives that are at risk and formulates a risk management strategy document which describes how risks will be managed throughout the implementation and the life of the contract. FDM captures all threats and opportunities that may affect the implementation objectives, and often does this within a risk or planning workshop.
2. Assess – FDM estimates each risk and determines their probability and impact. FDM also calculates the time duration measured from the day when a specific risk may occur, which is helpful in prioritising risks and evaluating their impact by understanding when they will occur.
3. Evaluate - FDM assesses the aggregated affect of all identified threats and opportunities. From here, an assessment can be made on the overall severity of the risks facing the implementation. The risk severity is checked that it is within the risk tolerance band set by the implementation team. Risk severity is expressed as a monetary value determined by multiplying its probability by the financial impact. This is done for each risk and calculated to determine the Expected Monetary Value.
4. Plan - FDM determines the possible responses for each threat and opportunity with the intent of removing or reducing the threats and maximising the opportunities. FDM evaluates the balance between the cost of the response against the probability and impact of the risk occurring.
5. Communicate – FDM communicates the management of risk throughout the implementation and continues to review throughout the life of the contract. FDM is committed to continuity of service without compromising quality and has a detailed Disaster Recovery and Business Continuity Plan (DR&BCP) modelled on ISO22301. The DR&BCP aims to ensure that in the event of a failure, critical business functions are reinstated as soon as is practical.

The objectives of FDM's BCDR Plan are to:

- Identify potential internal and external threats to the operation of the site
- Outline the measures to be taken to minimise risks
- Mobilise an organisation structure that can manage recovery from a disaster
- Identify the immediate action to be taken in a disaster situation

- Identify the short term measures necessary to restore all required systems, following a disaster
- List the medium term measures necessary to build up the required systems
- Describe the long term action required to maintain the recovery of the business

The scope of FDM's DR&BCP deals with all levels of disaster, from minor incidents to a worst case scenario in which critical information systems, machinery or other resources are destroyed by fire, other manual events, or by unauthorised entrants committing acts of destruction, theft, terrorism or sabotage that prevent key service delivery functions being provided at the site.

FDM has multiple contingency sites as follows:

FDM central production facility:

7 Electra Business Park
160 Bidder Street
London
E16 4ES

45000 sq ft

Disaster recover / additional production facility:

Unit 12
101 Stephenson Street
London
Canning Town Business Park
E16 4SA

18000 sq ft

IT hardware and software replicated at -

Solsis Limited
Waterside Park
Cookham Road
Bracknell
Berkshire
RG12 1RB

Our DR site is located approximately 1km away and replicates FDM's IT, litho, lasering, mailing and storage productive capabilities. It are tested every 6 months to ensure all equipment is maintained in excellent working condition and ready for service according to FDM's Quality Assurance standards.

FDM also holds copies of essential documentation in two fireproof safes – hardcopy and electronic, e.g. contracts, legal documents, contact details for staff, suppliers and clients – at 2 separate sites.

Project escalation path

FDM's customer relationship procedure involves all cases if necessary being managed and escalated through the company, from the Account Manager to the Management team.

In the event of the total or temporary inaccessibility of the FDM facility (as defined above), the DR Management Team (DRMT) will be located at the contingency operational site -

Unit 12
Canning Town Business Park
Stephenson Street
London
E16 4SA

From this base, the DRMT and key staff will communicate with clients and suppliers in order to carry out FDM's business functions - using the daily incremental and weekly full back-ups of our electronic data held at this site and at the Solsis premises off-site. Nominated users (defined in our succession plans) will be granted remote access from their computers at sites other than FDM business premises.

3.5.1 Equipment and data for business continuity

The DRMT will make use of the following equipment and documentation to manage the problems caused by the particular disaster events.

Technology

- Laptops or back-up PCs with:
 - Windows software
 - Access to the latest back-up of Tharstern® MIS – a database which holds up-to-date client, supplier and job information
 - Access to the latest back-up of key programs required for the limited functions that can take place from the emergency location
 - High-speed broadband
- Printer/s
- Adequate supplies of consumables such as, USB pen drives and other stationery.
- Telephones: land line + mobiles
- Fax machine

Documentation

- Soft and hard copy of contact details [usually held under Tharstern Contacts and Outlook on the FDM network]. These details include the means of contacting FDM staff, clients, suppliers, company insurance details, FDM floor plans and chemical inventory.
- Copies of Current contracts.

- Copies of DR procedures for each department, including succession plan.
- Copy of Clients and Supplier contact details
- Copy of Buildings and contents insurance
- Copy of FDM floor plans
- Copy of Chemical inventory.

Appendix 7 - Governance and Compliance

Best Practice accessibility guidelines

FDM is committed to making all our printed and mailed literature accessible to everyone including older people, and those with visual, hearing, cognitive or motor impairments. If required FDM would be happy to work with the GLA to provide

- Large print versions of the booklet
- Translated versions of the booklet
- Accessible online versions

Responsible Procurement Policy

FDM as one of only 6 printers appointed to the crown commercial services printing framework, is fully versed on the aspects of responsible procurement policy. We are committed to sourcing all materials from suppliers who share common goals and aims and ensure all our suppliers meet our standards. FDM only source materials from ethical means and as a printer our key raw material being paper this means all paper stock suppliers must be FSC accredited.

As part of our ISO14001 accreditation FDM has adopted practices that mean environmental considerations are foremost in choosing equipment and production methods.

Promoting community benefits and promoting fair employment practices

FDM is an active support of the wider East London employment and supply chain and the majority of our work force is living in London. We are part of the London Borough of Newham's work placement scheme and also employs apprentices from across London. FDM is committed to workforce welfare including active encouragement of the cycle to work with about 1/3 of the work force using this scheme.

Legal aspects associated with the booklet

FDM fully understands that the Mayoral Candidate address booklet is to be produced in line with regulations as set-out in The Local Authorities (Mayoral Elections) (England and Wales) Regulations 2007 and subsequent amendments. The key aspects which are laid out in Schedule 4 and your project manager will have knowledge of this legislation.

Although the legal aspects of the booklet design would need approval from London elects and electoral commission. FDM does have experience of the various pitfalls of the candidate booklet mailing and where appropriate can challenge and question subtle design aspects. We are a member of the cabinet office suppliers group and the only print supplier who sits as a member of AEA London branch. As such we are actively part of discussions relating to the legal aspects of this election.

We understand the legal implications as laid out in government legislation with regards to the key deadlines of this mailing.

Dear Sir or Madam,

FDM confirm that all paper purchased to undertake this work would comply with mandatory Government Buying Standards for buying paper.

Kind Regards

- REDACTED -

Jim Fletcher

Group Managing Director

