



INVITATION TO TENDER (STAGE1)

ELECTRONIC DOCUMENT & RECORDS MANAGEMENT (EDRM) CONTRACT

COMPETITIVE PROCEDURE WITH NEGOTIATION

CLOSING DATE FOR STAGE 1 TENDER RESPONSES – Thursday 27 April 2017, 5pm

1 PURPOSE

- 1.1 The purpose of this Procurement Process is for The National Archives (TNA) to select a Supplier to deliver an Electronic Document & Records Management (EDRM) solution for its corporate information. TNA intends this to replace its current, on-premise EDRM solution.
- 1.2 Our aim is to shift from an internally-hosted EDRM to a cloud solution, in line with Government Digital Service (GDS) standards and TNA's own IT strategy. It is imperative that TNA is able to maintain rigorous compliance with relevant legislation, including its own obligations to transfer records under the [Public Records Act](#), but the new solution should also meet additional business requirements such as the ability to share data with external organisations in a controlled manner.
- 1.3 Whilst TNA's strong preference is for the EDRM solution to be delivered as Software as a Service (SaaS), Potential Suppliers may submit solutions using alternative architecture such as an on-premise or hybrid model.
- 1.4 TNA intends to award the EDRM Contract for an initial period of three years, with options to extend for two further periods of up to twelve months each (3+1+1).

2 BACKGROUND

- 2.1 TNA is the official archive and publisher for the UK government, and for England and Wales, holding official records containing 1,000 years of history. Our role is to collect and secure the future of the government record, both digital and physical, to preserve it for generations to come, and to make it as accessible and available as possible. We are a non-ministerial department and our parent department is the Department for Culture, Media and Sport. More information on TNA can be found at www.nationalarchives.gov.uk. Also, [Archives Inspire](#) sets out our plans for the next few years.
- 2.2 As a government department, TNA manages its own corporate information and transfers some of this information to the archives under the [Public Records Act](#) using the same procedures as other government departments. Storage and management of TNA's archives, including of born-digital material, is not part of this requirement.
- 2.3 For background information on TNA's current EDRM, please refer to **Appendix A** which includes a description of the data currently held, statistics on usage and data volumes, and information on TNA's computer and software environment.
- 2.4 To illustrate typical future user needs, TNA has developed a set of use cases or personas. These are attached as **Appendix B** and are provided for background context.

3 THE PROCUREMENT PROCESS

- 3.1 The Procurement Process for the EDRM Contract will be split into two Stages, described in this document as '**Stage 1**' and '**Stage 2**'.
- 3.2 Stage 1 of the Procurement Process is about understanding and evaluating Potential Suppliers' initial Proposals for delivering the EDRM Contract. At Stage 1, we will be evaluating Proposals on the basis of Quality criteria only.
- 3.3 At the end of Stage 1, each Potential Supplier's Stage 1 Proposal will be evaluated by TNA. A maximum of four Potential Suppliers will be shortlisted for invitation to participate in Stage 2 of the Procurement Process. **Potential Suppliers should note that Stage 2 of the Procurement Process is subject to sign off from TNA's Executive Team, such sign off being sought based on the level and quality of Stage 1 Proposals received.**
- 3.4 Stage 2 of the Procurement Process is about understanding and evaluating short-listed Potential Suppliers' Proposals for delivering the EDRM Contract, at a more detailed level.
- 3.5 During Stage 2, shortlisted Potential Suppliers will have an opportunity to have a one-to-one meeting with TNA to test ideas, to negotiate, and to refine their Proposals. Shortlisted Potential Suppliers will also be expected to provide access to a demonstration system, videos and/or other relevant documentation which can be shared with TNA staff as part of the evaluation process. At the end of Stage 2, short-listed Potential Suppliers will be invited to re-submit their final Proposals. TNA will evaluate those Proposals – and make a Contract Award decision - on the basis of Quality, References and Price.

4 HOW TO RESPOND

- 4.1 Please submit your Stage 1 Proposal by **5pm (UK time) on 27 April, 2017** to procurement@nationalarchives.gsi.gov.uk, providing the information specified in Section 5 of this Invitation to Tender document.
- 4.2 If you have any clarification questions related to your Stage 1 Proposal, please submit these to procurement@nationalarchives.gsi.gov.uk by **5pm (UK time) on 7 April, 2017**.
- 4.3 Potential Suppliers should note that there are [grounds for mandatory exclusion](#) from being awarded government contracts. By submitting a Proposal you are self-certifying that none of these grounds apply to you or your organisation (or any other person who has powers of representation, decision or control in the organisation), or to any agents, affiliates or sub-contractors.

5 YOUR STAGE 1 PROPOSAL

5.1 It is for Potential Suppliers to determine what format their Stage 1 Proposals should take. However, please ensure that within your Proposal you address as a minimum the following:

5.2 Category 1 - Software

- Tell us how users can individually or collaboratively manipulate or save Office and open source documents, images, videos and other files in your proposed solution; how users may manage their email; how files can be shared internally and externally securely; version control; mechanisms to support the process of document drafting.
- Tell us how the proposed solution enables users to store documents in a common shared file plan; browse a hierarchical folder structure to discover documents; reconfigure the structure without breaking links; and what controls ensure the structure can remain understandable after several years of use.
- Tell us what search and reporting functionality is provided in your proposed solution, including with the functionality of search result listings, and how administrators define and generate reports.
- Tell us how metadata or tags are managed in your proposed solution, including what is automatically captured, how metadata schemes are configured, how metadata is made visible and useful for users.
- Tell us what retention and disposition functionality is provided in your proposed solution, including how retention schedules are assigned; support for "file" or "aggregation" containers of related documents as described in [Moreq 2010](#); the available retention triggers; how retention can be carried out without requiring users to declare records (in-place records); secure deletion processes.
- Tell us how data and metadata can be exported from your proposed solution, doing so in a usable, non-proprietary format
- Tell us what governance controls are provided in your proposed solution that give administrators oversight of the solution and help maintain confidentiality, including the permissions/roles/user management model, and audit functions.
- Tell us what features that promote usability are provided in your proposed solution, so that the solution is easy and pleasant to use, which might include drag and drop, ability to perform bulk operations with a single action, ability for users to perform many different actions at once, customisable labels.
- Tell us what the primary interface to the proposed solution looks like (e.g. web browser, desktop client); its compatible operating systems, browsers, office software, and file formats; its consistency across a range of devices; interfaces

with Microsoft Office/365 software (client-installed and cloud); other connectors and interfaces; the accessibility standards the solution follows.

- Tell us what additional features and functions are provided in your proposed solution that you feel would add value to TNA in managing its corporate information.

5.3 Category 2 – Hosting & Service

- Tell us what hosting and/or architecture arrangements you propose, including the security architecture.
- Tell us what Service Level Agreement you propose, including reporting, arrangements for customer management and what resourcing requirements you would expect TNA to make.
- Tell us what backup and restore arrangements you propose.
- Tell us what change control mechanisms you propose.

5.4 Category 3 – Transition & Migration

- Tell us what approach you propose taking to transition and migration, what risks you believe are associated with that transition and migration, how you would mitigate those risks, and what your quality control/user acceptance procedures are. Also tell us what resourcing requirements you would expect TNA to make in delivering that transition and migration.

5.5 Category 4a – Security (Pass/Fail) - *Only applies to Cloud and Hybrid Solutions*

- Confirm that you - and any sub-contractors you propose to use - are certified for at least one of ISO 27001, Ministry of Defence List X, or [Cyber Essentials Plus](#). TNA's strong preference is for one of the preceding three certifications; if you hold a certification other than these, which you believe to be relevant, please tell us what it is.
- Confirm all data will be held within the European Economic Area (EEA).
- Confirm that TNA retains ownership of all data and metadata generated through your proposed solution.

5.6 Category 4b – Security (Other)

- Tell us about the security controls in your proposed solution, addressing specifically:
 - How your proposed solution is appropriate for holding government information classified as OFFICIAL, as defined by the [Government](#)

[Security Classification](#) scheme. This includes OFFICIAL-SENSITIVE data and personal data.

- How your proposed solution meets the UK government's fourteen [cloud security principles](#)
- What security devices, design, protocols and processes you propose putting in place to segment service monitoring and management activities, to prevent access to TNA's production systems and data; this is to operate the solution on a principle of least privilege so that every person that has access to the solution will operate using the least set of privileges necessary to complete the job.
- What additional certifications you hold that you believe relevant.

5.7 Category 5 – Indicative Pricing

- Tell us the level of investment that you believe TNA would need to make to implement your proposed solution for the initial three year contract term; including one-off implementation costs and annual recurring costs.

6 EVALUATION CRITERIA

Stage 1 Proposals will be evaluated using the following criteria:

CATEGORY	MAXIMUM AVAILABLE SCORE	WEIGHTING	MAXIMUM AVAILABLE WEIGHTED SCORE
Category 1 – Software	10	3	30
Category 2 – Hosting & Service	10	1	10
Category 3 – Transition & Migration	10	1	10
Category 4a - Security (Pass/Fail)	PASS/FAIL	N/A	N/A
Category 4b - Security (Other)	10	1	10
Category 5 – Indicative Pricing	N/A – For Information Only at Stage 1	N/A	N/A – For Information Only at Stage 1

Category 4a is pass/fail. It will not be scored for solutions deployed entirely on-premise at The National Archives.

For each of Categories 1, 2, 3, and 4b, a points score between 1 and 10 is available. These points will be allocated applying the criteria as listed in the table below. If any Category within your Proposal mainly has the criteria of one score, but also has one or more criteria of a lower score, then that Category will be awarded the lower score.

10 Points	Very Good: <ul style="list-style-type: none"> Potential Supplier's Proposal exceeds TNA's expectations at Stage 1. Potential Supplier has provided high-quality, compelling and convincing evidence to support all elements of their Proposal. Potential Supplier has submitted a Proposal which is highly relevant to the Requirement. Potential Supplier's Proposal is clear and easy to understand. Where relevant, Potential Supplier has demonstrated a high level of capability to deliver new and innovative service approaches.
7 Points	Good: <ul style="list-style-type: none"> Potential Supplier's Proposal meets TNA's expectations at Stage 1. Potential Supplier has provided evidence to support most elements of their Proposal. The evidence supplied is good and relevant to the Requirement. Potential Supplier has submitted a Proposal which is highly relevant to the Requirement. Potential Supplier's Proposal is clear and easy to understand. Where relevant, Potential Supplier has demonstrated some level of capability to deliver new and innovative service approaches.
4 Points	Average: <ul style="list-style-type: none"> Potential Supplier's Proposal only partly meets TNA's expectations at Stage 1. Potential Supplier has provided evidence to support only some elements of their Proposal. The evidence supplied has only some relevance to the Requirement. Potential Supplier's Proposal is not always clear and easy to understand. Where relevant, Potential Supplier has demonstrated limited capability to

	deliver new and innovative service approaches.
1 Point	Poor: <ul style="list-style-type: none"> • Potential Supplier's Proposal fails to meet TNA's expectations at Stage 1. • Potential Supplier has provided little or no evidence to support most elements of their Proposal. • The evidence supplied is weak and has limited relevance to the Requirement. • Potential Supplier's Proposal is not always clear and easy to understand. • Where relevant, Potential Supplier has demonstrated little or no capability to deliver new and innovative service approaches.

A maximum of four Potential Suppliers will be shortlisted for invitation to participate in Stage 2 of the Procurement Process. If you have been successful, we will provide you with feedback on your Stage 1 Proposal to help you to prepare for Stage 2 of the Procurement Process. If you have not been successful, we will provide you with feedback on the reasons why.

7 PROCUREMENT TIMETABLE

The Procurement Timetable is as follows:

STAGE 1		
Ref.	Description	Date
1	Invitation to Tender is published in OJEU and on the Contracts Finder website	Tuesday 28 March, 2017
2	Deadline for Potential Suppliers to submit clarification questions to procurement@nationalarchives.gov.uk	Friday 7 April, 2017, 5pm
3	Deadline for TNA to respond to clarification questions*	Friday 14 April, 2017
4	Deadline for Potential Suppliers to submit their Stage 1 Proposals to procurement@nationalarchives.gov.uk	Thursday 27 April, 2017, 5pm
5	TNA to evaluate Stage 1 Proposals and to shortlist Potential Suppliers for Stage 2 of the Procurement Process	Friday 5 May, 2017

**Any clarification question that TNA deems to be relevant to more than one Potential Supplier will be shared with all Potential Suppliers participating in Stage 1 of the Procurement Process*

8 CONTRACT TERMS AND CONDITIONS

- 8.1 The EDRM contract shall be governed by the short form conditions for services published [here](#).