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# PURPOSE

## The Centre for Applied Science and Technology (CAST) and the National DNA Database Delivery Unit (NDU) both require the services of a United Kingdom Accredited Service (UKAS) accredited certification body to perform audits and provide them with certification to ISO 9001.

# BACKGROUND TO THE CONTRACTING aUTHORITies

## The Centre for Applied Science and Technology (CAST) is the primary science and technology interface between Home Office Ministers and policy makers, frontline delivery partners, and the suppliers of science and technology. Understanding the policy and operational context of Home Office business allows us to operate where others cannot for reasons of impartiality, national security or market failure.

##  CAST supports the full range of Home Office interests in policing and tackling crime, counter-terrorism, border security and controlling immigration. Extensive in-house skills and expertise, coupled with access to industrial, academic and international networks, enable CAST to provide the right advice and support, irrespective of the problem.

##  CASTs projects and services cover the full range of Home Office interests, including the following major themes:

 • Contraband detection

 • Crime prevention and community safety

 • Digital investigations

 • Forensics

 • Identity assurance

 • Protective security

 • Public order

 • Surveillance

##  The National DNA Database Delivery Unit (NDU) provides a national system that identifies links between DNA found at scenes of crime with DNA obtained from arrestees (and on occasion other individuals such as vulnerable persons and missing persons). The Unit ensures the timely and cost effective delivery of National DNA Database (NDNAD) and National Footwear Database (NFD) services to police force customers and other stakeholders of the Database in line with defined quality business and service standards whilst ensuring the integrity of the records. This maintains public confidence in the NDNAD and supports policing in reducing crime, maintaining order, and bringing criminals to justice.

# Background to requirement/OVERVIEW of requirement

## CAST and NDU both have a requirement to put in place a three (3) year Contract with an option to extend for up to an additional one (1) year period, for UKAS accredited certification body to perform audits and provide them with certification to ISO 9001.

## CAST and NDU are committed to maintaining International Standards Organisation (ISO) 9001 certification. This requires the creation, implementation, maintenance and continuous improvement of a procedure driven business management model, called a Business Management System (BMS). Compliance with the requirements of ISO 9001 and the subsequent certification ensures that CAST and NDU operate an effective and universally recognised system for the scoping, delivery and measurement of customer satisfaction.

## Currently both CAST and NDU undergo external audits by a UKAS accredited certification body on a 6 monthly basis to ensure maintenance of certification to ISO 9001 with a longer recertification audit every 3 years.

## CASTs current ISO 9001:2008 certificate expires on 31 August 2017.

## NDU’s current ISO9001:2008 certificate expires in June 2018 (anticipated transition to ISO9001:2015 is planned for July 2017)

## CAST has approximately 200 staff and currently operates from 3 locations Sandridge (St Albans), Langhurst (Horsham), and Marsham Street (London). CAST’s certification covers all 3 sites. Current audits alternate between Sandridge, Langhurst and Marsham Street.

## Currently NDU only have 1 site which is based in Solihull Birmingham.

## NDU has approximately 22 members of staff, operating from this single site.

# definitions

|  |  |
| --- | --- |
| Expression or Acronym | Definition |
| CAST  | means Centre for Applied Science and Technology |
| NDU | means National DNA Database Delivery Unit |
| UKAS | Means United Kingdom Accreditation Service |

# scope of requirement

## The scope of the requirement extends to the provision of the services of a UKAS accredited certification body to perform audits and provide certification to ISO 9001 to the Centre for Applied Science and Technology (CAST) and the National DNA Database Delivery Unit (NDU).

### ISO 9001 certification is sought to cover the current scope of ISO 9001 certification for each authority:

### CAST – The provision of a range of technical and advisory services to the Home Office and its delivery partners. For the design and assembly of mechanical, electrical, electronic equipment, software, training and project management services to support the activities listed above.

### NDU – Delivery of the National DNA Database (NDNAD) and National Footwear Database (NFD) services to police force customers and other stakeholders of the Database in line with defined quality business and service standards whilst ensuring the integrity of the records held.

### CAST and NDU are only seeking a Potential Provider to provide ISO 9001 certification, audits to other standards are not required.

# The requirement

## The Potential Provider should carry out audits to an agreed schedule, for example annually, 6 monthly (required frequency and justification should be provided in the Potential Providers response to the tender) to ensure continued certification of the authorities to ISO 9001:2008 / ISO 9001:2015 (once transition to the new standard has taken place).

## The Potential Provider will also need to be able to provide any additional audits or consultation to ensure the closure of any major-non-conformances (should they occur) within the required timeframes to enable the authorities to maintain their ISO certification.

## A plan for the audit should be agreed up to one month before the start date of the audit. The subject of each audit is at the discretion of the certificating auditor. Areas and clauses for audit will be selected through agreement between the authorities and the Potential Provider prior to the audit.

## It is the responsibility of the Potential Provider to electronically prepare comprehensive reports on findings, good practice, poor practice, and suggested improvements; all with specific reference to the respective clauses under ISO 9001.

## The audit report should be submitted (electronically as a PDF document) to the authorities within two weeks of completion of the audit.

## A schedule of audits for the 3 year period will need to be agreed between the Potential Provider and the authorities at the start of the Contract. The specific dates for audits should be agreed between the Potential Provider and the authorities up to six months (but no less than 1 month) in advance of the start date of the audit.

## The Potential Provider must provide the authorities with the security clearance, date of expiry of security clearance and CV of all potential auditor(s). The selection of the auditor to undertake the audits should be agreed between the Potential Provider and the authorities.

## The Potential Provider must also provide a breakdown of how they intend to Contract manage the audit requirement over the three year period.

# key milestones

## The Potential Provider should note the following project milestones that the Authorities will measure the quality of delivery against:

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Description** | **Timeframe** |
| 1 | Potential Provider to confirm and agree scope and dates of first audit under this Contract with the authorities. | Within weeks 2 of Contract Award  |
| 2 | Potential Provider to agree with each authority the schedule of audits going forward.  | Within 6 weeks of Contract Award and to be agreed on annual basis. |
| 3 | Review meeting (teleconference) between provider and each authority to check understanding, review KPI’s and discuss how Contract is progressing.  | Within 9 Months of Contract Award and at agree annual date during Contract. |

#

# authorities responsibilities

## CAST and NDU will provide contact details of key project personnel upon the award to the successful certification body.

# reporting

## Upon completion of each audit the auditor shall provide a full audit report as detailed in section 6.3.

# volumes

## Currently CAST have a 5 day certification audit every 3 years and 2 day surveillance audits every 6 months.

## Currently NDU have a 3 day certification audit every 3 years and 1 day surveillance audits every 6 months.

# continuous improvement

## The Potential Provider will be expected to continually improve the way in which the required Services are to be delivered throughout the Contract duration.

## Changes to the way in which the Services are to be delivered must be brought to the Authorities attention and agreed prior to any changes being implemented.

# quality

## The Potential Provider of ISO 9001 certification services must hold ISO/IEC 17021:2011 or ISO 17021-1:2015 to provide ISO 9001:2008 quality management systems certification accredited by the United Kingdom Accreditation Service (UKAS).

## Home Office (CAST & NDU) are working to transition to ISO 9001:2015 to support this transition the provider must hold ISO 17021-1:2015 accreditation to provide certification services to ISO 9001:2015 quality management systems certification accredited by the United Kingdom Accreditation Service (UKAS).

# PRICE

## Prices should be provided on a per day rate. A breakdown of the number of days required to meet the requirements of this Contract should be provided in the supporting information.

## Prices are to be submitted via the Appendix E and shall include expenses but excluding VAT.

# STAFF AND CUSTOMER SERVICE

## The Authorities require the Potential Provider to provide a sufficient level of resource throughout the duration of the Provision of Quality Audit / Certification Contract in order to consistently deliver a quality service to all Parties.

## Potential Provider’s staff assigned to the Provision of Quality Audit / Certification Contract shall have the relevant qualifications and experience to deliver the Contract.

## The Potential Provider shall ensure that staff understand the Authorities vision and objectives and will provide excellent customer service to the Authorities throughout the duration of the Contract.

# service levels and performance

## The Authorities will measure the quality of the Supplier’s delivery by:

|  |  |  |  |
| --- | --- | --- | --- |
| KPI/SLA | Service Area | KPI/SLA description | Target |
| 1 | Audit Scheduling | The date for the next audit should be agreed between the Potential Provider and the authorities up to six months (but no less than 1 month) in advance of the start date of the audit | 100% |
| 2 | Audit planning (scope and areas for audit) | A plan for the audit should be agreed up to one month before the start date of the audit. | 100% |
| 3 | Audit Reports | The audit report should be submitted (electronically as a PDF document) to the authorities within two weeks of completion of the audit.Containing as a minimum findings relating to good practice, poor practice, and suggested improvements; with specific reference to the respective clauses under ISO 9001. | 100% |

## Where the authority identifies poor performance against the agreed KPI’s, in the first instance the Potential Provider and the authority shall refer to the terms and conditions of the Contract (Appendix C) to look to resolve any aspects of poor performance. The Potential Provider shall be required to attend a performance review meeting. The performance review meeting shall be at an agreed time no later than 10 working days from the date of notification at the authorities’ premises.

## The Potential Provider shall be required to provide a full incident report which describes the issues and identifies the causes. The Potential Provider shall also be required to prepare a full and robust ‘Service Improvement Action Plan’ which sets out its proposals to remedy the service failure. The Service Improvement Plan shall be subject to amendment following the performance review meeting and agreed by both parties prior to implementation.

## The authorities agree to work with the Potential Provider to resolve service failure issues. However, it will remain the provider’s sole responsibility to resolve any service failure issues.

## Where the Potential Provider fails to provide a Service Improvement Plan or fails to deliver the agreed Service Improvement Plan to the required standard, the authorities reserves the right to seek early termination of the Contract in accordance with the procedures set out in Appendix C - Terms and Conditions

# Security requirements

## Auditors auditing at any CAST sites will need to hold Security Clearance at SC (security check) level.

## Auditors at the NDU site will be required to hold security clearance to SC level and have valid Non Police Personnel Vetting level 3 clearance (NPPV3).

## In order to gain access to any site details of the auditor will need to have been notified in advance including details of security clearances. Auditors will also be required to have photographic ID on them to gain access to site.

## All staff of the Potential Provider’s authorities who have access to the audit report and any material marked officially sensitive will need to hold Security Clearance at SC (security check) level.

# payment

## Payment can only be made following satisfactory completion of pre-agreed audits and agreement of the report with the customer.

## Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.

## As the Contract has two Authorities each authority will be sent its own Invoice submitted to the appropriate CAST or NDU Home Office Shared Service Centre with a copy sent to the relevant Quality Manager.

# Location

## The location of the Services will be carried out at the locations relevant to the specific authorities.

## The CAST’s sites our in Sandridge (St Albans, AL4 9HQ), Langhurst (Horsham, RH12 4WX), and Marsham Street (London, SW1P 4DF).

## The NDU site is based in Solihull Birmingham.

## Visits to these sites will be based on the audit requirements stated in section 10. Any travel required should be based on NDU and CAST Travel and Subsistence rates.