

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

## PART A: GOODS AND SERVICES

### LOT 5 – SCANNING SERVICES

#### 1 INTRODUCTION

- 1.1 Crown Commercial Service (CCS) (the “Authority”) is seeking to establish a Framework Agreement for the provision of a Scanning Service (Off and/or On-Site) for all UK Central Government Departments and Wider Public Sector Organisations (“Contracting Authorities”).
- 1.2 This Framework Agreement will be managed by the Authority and Call Off Contracts will be managed by Contracting Authorities.
- 1.3 The duration of the RM3781 Framework Agreement for Lot 5 is four (4) years (48 months), with a maximum Call Off Contract period of three (3) years (36 months).
- 1.4 The purpose of Lot 5 is to appoint a number of Suppliers who shall be responsible for the provision of a Scanning Service (Off and/or On-Site) via Further Competition between the successful Suppliers and Contracting Authorities.
- 1.5 Lot 5 will reflect one-off projects for Scanning and/or Bulk Scanning and longer term requirements to digitise Records in line with Contracting Authorities broader Records Information Management strategy.
- 1.6 The Supplier shall provide all aspects of the requirement for Lot 5 as set out in this Framework Schedule 2.
- 1.7 The Authority placed a Prior Information Notice, (the PIN notice) - 2015/S 241-437566 which was published on 12/12/2015 (the PIN notice) in the Official Journal of the European Union (OJEU).
- 1.8 The procurement has been advertised by publishing a Contract Notice in the OJEU under the open procedure in accordance with the Public Contracts Regulations 2015 (the “Regulations”).

## **2 SCOPE OF THE REQUIREMENT.**

- 2.1 This Lot 5 (Scanning Services) relates to the management of Contracting Authorities Records and the 'physical to digital' process in line with Governments broader 'digital by default' strategy. During this process it is acknowledged that there will be a short term requirement to store physical records
- 2.2 The Supplier shall provide the full Scanning Service for an End to End or part requirement, as specified by Contracting Authorities.
- 2.3 The core requirements of this Lot 5 shall include but shall not be limited to:
- Scanning Service (On and/or Off site);
  - Document Scanning & Digitising of paper Images (or other media as specified);
  - Transportation of Records between locations where required;
  - Bulk Scanning project management;
  - Hosting services (digital storage of scanned images or transfer into Contracting Authorities 'Records Information Management System /Document Repository System' (RM/DRS));
  - Digital media storage (Hosting of scanned records);
  - Secure storage and access;
  - On line User access;
  - Inventory Software;
  - Electronic Retrieval;
  - Destruction and Archive Services;
  - Help desk availability – core hours or 24/7, where specified;
  - Performance monitoring;
  - Management Information reporting (Periodical and pro-active);
  - Missing Records procedures;

### **3 MANDATORY REQUIREMENTS – SCANNING SERVICES, REPOSITORY SYSTEM, DESTRUCTION AND ARCHIVE**

This section provides details of the mandatory Scanning Services, including a Records Information Management System/Document Repository System (RM/DRS), Destruction and Archive Service that the Supplier shall be expected to fulfil in their entirety in order to meet the requirements of this Framework Agreement.

#### **3.1 PRE-SCANNING PREPARATION SERVICE**

3.1.1 The Supplier shall provide a pre-Scanning preparation service which shall as a minimum consist of:

- Removing all staples, paperclips, treasury tags and all other bindings leaving each piece of paper separate;
- Trimming pages to prepare the Record for Scanning, when necessary, ensuring that trimming is kept to a minimum and avoids text and other content on the page;
- Ensuring documents and pages during the Record preparation activity are kept in the same order as they were prior to the Record preparation activity being undertaken;
- Ensuring the required content to be scanned within the physical Record is capable of producing a clear scanned resultant image and providing separators, where required, at no additional cost to Contracting Authorities.

#### **3.2 SCANNING SERVICES**

3.2.1 The Supplier shall have the ability to transfer varying volumes of paper Records into a digital format within set timescales, as specified by Contracting Authorities.

3.2.2 The Supplier shall have the ability and capacity to deliver Bulk Scanning requirements, during periods of high demands and within the timescales, as specified by Contracting Authorities at Call Off stage.

3.2.3 The Supplier shall retrieve Physical Records from their location and deliver them to the location at which they shall be Scanned, when requested by Contracting Authorities.

3.2.4 The Supplier shall provide secure, tracked transport for the transportation of Physical Records from Contracting Authorities location to the Supplier's premises, when requested.

3.2.5 The Supplier shall provide the following transport options: 2 hour delivery, same day delivery, next day delivery and one week delivery, as specified by Contracting Authorities at Call Off stage.

3.2.6 The Supplier shall provide short term storage facilities for Physical Records that are scheduled to be scanned as part of the Scanning activity. Timescales shall be agreed between the Supplier and Contracting Authorities.

3.2.7 The Supplier shall minimise the period of which Physical Records are stored as part of the Scanning Service.

3.2.8 The Supplier shall securely encrypt all Data received in relation to Records and allow secure access to the Data by Contracting Authorities when requested.

3.2.9 The Supplier shall ensure that all appropriate security clearances are in place for the Supplier's personnel who have access to Physical and Digital Records and Data.

- 3.2.10 The Supplier shall save scanned documents and shall have the ability to record, catalogue or number images. The format for the scanned documents will be specified by Contracting Authorities at the Call Off stage. This shall include but shall not be limited to Portable Document Format (PDF).
- 3.2.11 The Supplier shall have the tools, processes, procedures and resource to accommodate original documents in many formats including, but not limited to:
- hand written notes;
  - A0 wallcharts through to A5, mono and colour documentation;
  - Microform files e.g. Microfilm or Microfiche;
  - bound notebooks - bound documents may need to be dis-assembled to facilitate this process, and subsequently re-bound or securely destroyed; and
- 3.2.12 The Supplier shall transfer scanned Records onto a 1tb Hard Drive, DVD/CD and/or USB, where required by Contracting Authorities.

### **3.3 SUPPLIER RECORDS INFORMATION MANAGEMENT SYSTEM/DOCUMENT REPOSITORY SYSTEM**

3.3.1 The Supplier shall provide and maintain a RM/DRS to digitally store scanned images.

#### **3.3.2 User Management**

3.3.2.1 The Supplier shall ensure the RM/DRS enables the following capabilities as a minimum for registered Contracting Authorities Users and Supplier Users, unless otherwise specified by Contracting Authorities.

- primary User ID or User reference;
- full name;
- e-mail address;
- User status (new, suspended, terminated, re-certification required, on-leave, etc.);
- necessary dates (e.g. User account start, termination, last-changed, re-activation);
- group, job or other role/responsibility; and
- access the scanned Record(s) through a intuitive electronic search database for instant Electronic Retrieval.

3.3.2.2 The Supplier shall ensure the RM/DRS shall be able to set up Users and User groups with different authorisation and access levels in addition to or in line with Contracting Authorities requirements. This shall include but not be limited to:

- administrative access to set up user access (creation, updating, suspending, de-suspending and deletion of User profiles);
- Requestor access to request Records;
- information editor access;
- manual Destruction Date amendment access;
- system privileges.

- 3.3.2.3 The Supplier shall ensure that the following information is indexed on the RM/DRS for each Record to be scanned, unless otherwise specified by Contracting Authorities:
- Supplier reference number
  - Date and time Record Scanned
  - Destruction Date
  - Description field
- 3.3.2.4 The Supplier shall scan each Record individually and save the scan on the RM/DRS in the following format;
- File type: PDF (or otherwise specified)
  - Scan Resolution: 300dpi (or otherwise specified)
  - Scan Format: black and white (or otherwise specified)
  - File name: RM/DRS barcode number (or otherwise specified)
- 3.3.2.5 The Supplier shall ensure that each Scanned Record is a clear Image of the original and complies in full with the formats as set out in 3.3.2.4, unless otherwise specified by Contracting Authorities.
- 3.3.2.6 The Supplier shall ensure that the Record(s) is scanned to ensure that it is demonstrably trustworthy in line with BS10008: Evidential weight and legal admissibility of electronic information, where specified by Contracting Authorities at the Call Off stage.

### **3.3.3 Audit**

- 3.3.3.1 The Supplier shall ensure that the RM/DRS provides an audit trail of all relevant activity which enables the Authority and Contracting Authorities to undertake a full audit on all relevant activity.
- 3.3.3.2 The Supplier shall ensure that audit trails are protected to the same level as the information handled by the RM/DRS, as specified by Contracting Authorities at Call Off stage.

### **3.3.4 Access**

- 3.3.4.1 The Supplier shall provide an electronic link to Contracting Authorities Users for access to the Supplier's RM/DRS, as specified at the Call Off stage.
- 3.3.4.2 The Supplier shall provide access to the RM/DRS between 07:00 and 19:00 hours unless otherwise specified by Contracting Authorities.

### **3.3.5 Training**

- 3.3.5.1 The Supplier shall be responsible for the provision of On and/or Off Site training to Contracting Authorities Users on its RM/DRS, or any other relevant aspects of the service provision, as specified by Contracting Authorities.
- 3.3.5.2 The Supplier shall provide training at regular time intervals, to be specified by Contracting Authorities at Call Off stage, and at no additional cost.

### 3.4 **CONTRACTING AUTHORITIES RECORDS INFORMATION MANAGEMENT/ DOCUMENT REPOSITORY SYSTEM**

- 3.4.1 The Supplier shall utilise the Contracting Authorities RM/DRS to digitally store scanned Records.
- 3.4.2 The Supplier shall upon request scan the Records into Contracting Authorities RM/DRS, for single images this should be completed within 24 hours and for Bulk Scanning projects this shall be completed within 72 hours, unless otherwise specified by Contracting Authorities.
- 3.4.3 The Supplier shall ensure that the following information is indexed on the RM/DRS System for each Record to be scanned, unless otherwise specified by Contracting Authorities:
- Supplier Reference number
  - Date and time Record Scanned
  - Destruction Date
  - Description field
- 3.4.4 The Supplier shall scan each Record individually and save the scan on the RM/DRS in the following format;
- File type: PDF (or otherwise specified)
  - Scan Resolution: 300dpi (or otherwise specified)
  - Scan Format: Black and White (or otherwise specified)
  - File name: RM/DRS Barcode number (or otherwise specified)
- 3.4.5 The Supplier shall ensure that each Scanned Record is a clear Image of the original Physical Record and complies in full with the formats as set out in 3.4.4, unless otherwise specified by Contracting Authorities.
- 3.4.6 The Supplier shall ensure that the Record(s) is scanned to ensure that it is demonstrably trustworthy in line with BS10008: Evidential weight and legal admissibility of electronic information, where specified by Contracting Authorities at the Call Off stage.
- 3.4.7 **Audit**
- 3.4.7.1 The Supplier shall ensure that the process for uploading scanned images to Contracting Authorities RM/DRS provides an audit trail of all relevant activity which allows Contracting Authorities at Call Off level and the Authority at Framework level to undertake a full audit of related system activities.

### 3.5 **DESTRUCTION AND ARCHIVE SERVICES**

- 3.5.1 The Supplier shall provide the UK (England, Northern Ireland, Scotland & Wales), including remote locations within these areas, with an Off and/or On-site Destruction and Archive Services as part of the full End to End Scanning Service.
- 3.5.2 The Supplier shall comply with Contracting Authorities Records Destruction and Archive Policies, where requested by Contracting Authorities at Call Off stage.
- 3.5.3 The Supplier shall provide a process to assist Contracting Authorities to identify and mark Records for Destruction and Archive.

- 3.5.4 The Supplier shall agree a Destruction or Archive date with Contracting Authorities. Once the applicable due date has been reached, the Supplier shall confirm with Contracting Authorities if Record(s) requires Destruction or Archive.
- 3.5.5 The Supplier shall regularly update the Authorisation levels and approved personnel details, as provided by Contracting Authorities.
- 3.5.6 The Supplier shall utilise its own, Contracting Authorities and/ or third party premises and facilities for the Destruction of scanned Physical Records.
- 3.5.7 The Supplier shall destroy Records that are marked for Destruction once the Record has been scanned and in accordance with Contracting Authorities Destruction requirements, timescales and approval process, as set out in paragraph 3.5.4.
- 3.5.8 The Supplier shall provide Contracting Authorities with a Destruction Certificate to confirm the Record(s) has been destroyed. As a minimum, the Destruction Certificate shall include but shall not be limited to:
- transaction number;
  - date of Destruction
  - weight of records destroyed;
  - reason for the records destruction
- 3.5.9 The Supplier shall provide and maintain a comprehensive audit trail on Records Destruction throughout the Call Off.
- 3.5.10 The Supplier shall ensure that when Data is deleted from the RM/DRS, archive databases and any other location where Contracting Authorities Data is stored electronically, that this is undertaken in accordance with HM Government guidelines see the link below for further detail:
- <http://www.cpni.gov.uk/documents/publications/2013/2013062-secure-destruction-sensitive-information.pdf?epslanguage=en-gb>
- 3.5.11 The Supplier shall only destroy storage boxes or packaging for the Records, upon receiving instructions from Contracting Authorities.
- 3.5.12 The Supplier shall return any storage boxes or packaging to Contracting Authorities, where required.
- 3.5.13 The Supplier shall not charge any storage costs for the identified Physical Record(s) after the specified Destruction Date, or for any period exceeding 28 days from receipt of approval for Destruction.

### 3.6 CONSUMABLE ITEMS

- 3.6.1 The Supplier shall provide Contracting Authorities with the Consumables where required, this shall include, but shall not limited to;
- Euro pallet (shrink wrapped);
  - British Standard pallets (shrink wrapped);
  - elastic bands;
  - parcel tape;
  - boxes;
  - polyester enclosures (poly pockets);

- media transfer cases; and
- barcodes;

### **3.7 TRANSFER OF CONTROL REQUIREMENTS**

- 3.7.1 The Supplier shall take control of the Records specified by Contracting Authorities within the Contracting Authorities stores and/or any Records (e.g. that are held by a previous Supplier). The date for transfer of control will be specified by Contracting Authorities at Call Off stage.
- 3.7.2 The Supplier shall request information on Contracting Authorities previous contracting arrangements, expiry dates, volumes and any other relevant information required prior to and/or during the Call Off stage.
- 3.7.3 The Supplier shall provide Contracting Authorities with a completed register, including all details relating to Physical and Digital Records, in a format suitable for Contracting Authorities upon the expiry of any Call Off Contract under this Framework Agreement.
- 3.7.4 The Supplier shall transfer all Contracting Authorities Data, including any information held on an IT system, to Contracting Authorities or its third party Supplier when requested by Contracting Authorities or at Contract termination.
- 3.7.5 The Supplier shall return any Equipment provided by Contracting Authorities to undertake its Scanning Services at the end of the Contract Period.
- 3.7.6 The Supplier shall ensure that all Physical and Digital Records will remain the property of Contracting Authorities at all times.

## **4 MANDATORY REQUIREMENTS – MAINTENANCE & SUPPORT SERVICES**

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

### **4.1 MAINTENANCE & SUPPORT**

- 4.1.1 The Supplier shall ensure that all scheduled RM/DRS maintenance and/or system upgrades shall occur outside the hours of 07:00 to 19:00 Monday to Friday, excluding UK Bank Holidays to minimise disruption for Contracting Authorities.
- 4.1.2 The Supplier shall ensure that in the event of any RM/DRS downtime there are processes and resources in place to maintain the continuity of Records Information Management Services. The Supplier shall ensure that these processes are reviewed and updated six (6) monthly, as a minimum.

### **4.2 Helpdesk Support**

- 4.2.1 The Supplier shall provide as a minimum, a helpdesk support Service during core operational hours between the hours of 09:00 to 17:00, Monday to Friday, excluding UK Bank Holidays, unless otherwise specified by Contracting Authorities.
- 4.2.2 The Supplier shall log and record all calls, at no additional cost to Contracting Authorities.
- 4.2.3 The Supplier shall provide extended service hours outside of the normal business hours as specified in paragraph 4.2.1 (i.e. weekends, UK Bank Holidays and/or out of



hours), when requested by Contracting Authorities. Any extended service hour requirement charges will be chargeable to Contracting Authorities and agreed at the Call Off Stage.

#### **4.3 Incident Reporting**

4.3.1 The Supplier shall ensure the RM/DRS has the functions to report and resolve any incidents that may arise. This shall include but not be limited to:

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

#### **4.4 Records Information Management System/Document Repository System Failure Recovery Process**

4.4.1 The Supplier shall ensure the RM/DRS has the required functionality in place to limit the impact of any RM/DRS Failure. This shall include but not be limited to:

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

4.4.2 The Supplier shall ensure that during the recovery process, the security and Data of RM/DRS is maintained by executing its backup and restore procedures, protecting the Authority's and Contracting Authorities information against any loss.

4.4.3 The Supplier shall ensure that the backup of the RM/DRS Data must be automated and require no User intervention.

## **5 MANDATORY REQUIREMENTS – SECURITY AND STANDARDS**

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

### **5.1 SECURITY**

5.1.1 The Supplier shall maintain and comply with a security policy which specifically addresses the protection of personal and other restricted information/Data held on behalf of Contracting Authorities including the risk management of:

- Information being disclosed by the Supplier's personnel inadvertently in response to a bogus request for documents or information from an unauthorised source;
- Deliberate unauthorised access to and/or disclosure of information by the Supplier Personnel
- The loss of physical or digital Data

5.1.2 The Supplier's security policy shall address as a minimum;

- Security management (risk assessment, response, evaluation, responsibilities and roles);
- Personnel integrity (recruitment, training, vetting, and disciplinary procedures);
- Management of suspected/actual breaches of security

- 5.1.3 The Supplier shall ensure that the implementation of security controls and how they shall comply to ISO 27001 or agreed equivalent, CESG BC, HMG Security Policy Framework as detailed at the link below and Industry best practice is documented, with associated security policies and standards:

<https://www.cesg.gov.uk/organisations/bcs-chartered-institute-it>

<https://www.gov.uk/government/publications/security-policy-framework>

- 5.1.4 The Supplier shall ensure that Contracting Authorities information and Data is secured in a manner that complies with the Government Security Classification Policy rating of OFFICIAL. The Supplier shall ensure that the Government Security Classification Policy rating is also applied when information and Data is transmitted across all applicable networks and/or in line with the Contracting Authorities' requirements.
- 5.1.5 The Supplier shall, where required, have the capability to employ encryption to information / Data which shall be sent across a network or extracted by electronic means. The Supplier shall ensure that the level of encryption complies in full with the Government Security Classification Policy rating of OFFICIAL and/or in line with the Contracting Authorities' requirements.
- 5.1.6 The Supplier shall provide a secure and environmentally stable storage area which complies with HM Government's Security Classifications and minimises the risks to the Records stored. This shall comprise a range of different storage environments, including but not limited to:
- Official (Standard requirement)
  - ISO27002 Information Security Management (Standard requirement) or agreed equivalent.
  - BS EN 15713 Secure Destruction of Confidential Material (Standard requirement) or agreed equivalent.
  - BS 7858 Security Vetting (Standard requirement) or agreed equivalent
  - BS EN ISO 9001 or Equivalent accreditation (Standard requirement) or agreed equivalent
  - BS10008 Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically (Standard requirement) ISO 14001 Environmental Management (Standard requirement) or agreed equivalent
  - Secret (To be specified by Contracting Authorities at Call Off stage)
  - Top Secret (To be specified by Contracting Authorities at Call Off stage)
  - BS 5454 Environmentally Controlled Storage (To be specified by Contracting Authorities at Call Off stage) or agreed equivalent
- 5.1.7 The Supplier shall report all breaches, or suspected breaches, of the Data Protection Act, to the Authority and Contracting Authorities immediately. The Supplier shall include details of any breaches in the monthly/ quarterly reporting to the Authority.
- 5.1.8 The Supplier shall report any other additional suspected security breaches outside of the Data Protection Act as detailed in 5.1.7 to Contracting Authorities immediately.
- 5.1.9 The Supplier shall ensure the secure collection, transportation, storage, removal and Destruction of all confidential materials, so that at no time these materials are out of the Supplier's possession, or capable of being deciphered.

- 5.1.10 The Supplier must ensure the secure transport of waste from Contracting Authorities premises, where access for a vehicle within the grounds cannot be provided.
- 5.1.11 The Supplier shall comply with Contracting Authorities requirements regarding missing record procedures and the process for locating missing records, recording of issues and an escalation process.
- 5.1.12 The Supplier shall comply with all the relevant legislation, organisational and cross Government policy and guidelines in relation to Data and asset security.
- 5.1.13 The Supplier shall ensure that the Records Information Management System/Document Repository System is capable of withstanding Industry Standard penetration tests. This shall include an IT security check carried out in accordance with CESG CHECK policy and procedures as detailed at the link below:

<https://www.cesg.gov.uk/articles/policy-and-guidance-documentation-suite-cast>

## 5.2 STANDARDS

- 5.2.1 The Supplier shall ensure that Services are developed , maintained and fully compliant with the 'CESG' and 'HMG' Security standards as detailed 5.1.3 in addition to those standards identified by Contracting Authorities at the Call Off stage.
- 5.2.2 The Supplier shall provide secure solutions that comply with any restrictions or requirements arising out of Contracting Authorities 'security policies. This shall include, but not be limited to:
- BS EN ISO 9001:2008 approved quality management process or agreed equivalent;
  - ISO 27001 Information Security Management or agreed equivalent;
  - BS8470, BS7858 or agreed equivalent;
  - EN 15713:2009 (E) process standard for both Off and/or On-site document destruction
  - BS EN 15713 – The Secure Destruction of Confidential Material or agreed equivalent;
  - ISO14001 – Environmental Management or agreed equivalent;
- 5.2.3 The Supplier shall apply the requirements of EN 15713:2009 (E) and BS EN ISO 9001:2008 to every aspect of the service, including Personnel, vehicles, business premises and recycling centres and must encompass all of the volumes and processes involved in meeting Contracting Authorities requirements.
- 5.2.4 The Supplier shall ensure that they support Contracting Authorities in meeting their legislative obligations including, but not limited to, those set out in: The Equality Act, The Freedom of Information Act (FOI) and the Data Protection Act.
- 5.2.5 The Supplier shall not charge a premium to Contracting Authorities for any additional standards and security compliance applicable to any Call Off Contracts, unless otherwise agreed by Contracting Authorities.

## **6 MANDATORY REQUIREMENTS – SUPPLIER PERSONNEL AND VETTING**

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

### **6.1 SUPPLIER PERSONNEL**

- 6.1.1 The Supplier shall ensure that all Supplier Personnel possess the qualifications, experience and competence appropriate to the tasks for which they are employed.
- 6.1.2 The Supplier shall ensure that all Supplier Personnel delivering the Services to Contracting Authorities are fully trained for the work they are undertaking.
- 6.1.3 The Supplier shall ensure that all Supplier Personnel adhere and comply with Contracting Authorities' safety and confidentiality requirements are met at all times.
- 6.1.4 The Supplier shall ensure that all Supplier Personnel supplying the Services of this Framework Agreement and any Call Off Contracts shall act in a responsible and professional manner, and shall provide and maintain the Services with all due skill, care and diligence.

### **6.2 VETTING**

- 6.2.1 The Supplier shall ensure that all Supplier Personnel have been security vetted and approved to Disclosure and Barring Service (DBS) relevant standards or agreed equivalent and/or Disclosure Scotland relevant standards were appropriate. The Supplier shall ensure that this is completed prior to the involvement of Supplier Personnel in the delivery of the Services under the Framework Agreement.
- 6.2.2 The Supplier shall ensure that all of its Supplier Personnel vetting procedures comply with the British Standard – Security Screening of Individuals Employed in a Security Environment – BS 7858:2012 agreed equivalent, unless otherwise specified by Contracting Authorities at the Call Off Stage.
- 6.2.3 The Supplier shall ensure that all Supplier Personnel involved in the delivery of the Service have and maintain the relevant security clearance, in line with the requirements as set out by Contracting Authorities.
- 6.2.4 The Supplier shall ensure that all Supplier Personnel who shall have access to Records shall be recruited and security cleared to the specified level, in accordance with the requirements of the HMG Baseline Personnel Security Standards set out in the link below:  
  

<https://www.gov.uk/government/publications/guide-for-dwp-contractors-hmg-baseline-personnel-security-standard>
- 6.2.5 The Supplier shall have robust mechanisms in place to ensure that Records, documents or information held is only accessed by authorised recipients.
- 6.2.6 The Supplier shall store separately and restrict the access to Personnel Records and Records classified as Secret. The Supplier shall ensure that only personnel with the required level of security and appropriately vetted are allowed access to these records.
- 6.2.7 The Supplier shall provide details of their Personnel security procedures and details on request of ALL personnel that they intend to use in the delivery of the Services.
- 6.2.8 The Supplier shall comply with all additional security vetting requirements relating to the access of Records required, as specified by Contracting Authorities. Any additional

security vetting requirements will be chargeable to Contracting Authorities to be agreed at the Call Off Stage.

## **7 MANDATORY REQUIREMENTS – SUSTAINABILITY AND ENVIRONMENTAL**

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

### **7.1 SUSTAINABILITY**

7.1.1 The Supplier shall support the wider agenda of sustainability in terms of the social, economic and environmental impact of Contracting Authorities operations, through the provision of Data to Contracting Authorities and the Authority, when requested.

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

<https://www.gov.uk/government/publications/government-buying-standards>

7.1.3 The Supplier shall complete annual Corporate Social Responsibility (CSR) assessments, highlighting risks and recommendations for improvements, upon request from Contracting Authorities.

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

### **7.2 ENVIRONMENTAL**

7.2.1 The Supplier shall ensure that all of the applicable Services supplied under this Lot, including packaging, comply with the requirements of the Government Buying Standards (GBS) for imaging products, Energy Star Rating and Article 6 of the Energy Efficiency Directive (EED) Standards. Full details can be accessed via the following link:

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

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

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

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

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

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

7.2.5 The Supplier and its supply chain will provide appropriate environmental certificates and accreditations as part of the audit process e.g. Forest Stewardship Council (FSC), Programme for the Endorsement of Forest Certification (PEFC) for mixed recycled fibre goods and the waste paper management collection process.

7.2.6 The Supplier shall provide specialised storage needs, such as for the preservation of materials needing specialised environmental controls, at the request of Contracting Authorities.

7.2.7 The Supplier shall ensure that all waste is managed and disposed of in line with Government Waste and Recycling policies as detailed at the following link:

<https://www.gov.uk/government/policies/waste-and-recycling>

## **8 MANDATORY REQUIREMENTS – FRAMEWORK MANAGEMENT**

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

### **8.1 Framework Management Structure**

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

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

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

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

8.1.5 The Supplier shall manage this Framework Agreement by utilising the Authority's tiered Supplier Relationship Management (SRM) approach as set out in paragraph 8.2.3, which provides escalation routes and enables development of the key strategies at senior levels.

8.1.6 The Supplier's Framework Manager shall ensure that accurate process maps for the ordering and logistics processes are created and maintained throughout the duration of the Framework Agreement, which shall include details of all processes undertaken by the Supplier to fulfil the Scanning Services under this Lot 5.

8.1.7 The Supplier's Framework Manager shall ensure where service levels are not being met, that appropriate extra resources are committed promptly and action is taken to

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

- 8.1.8 Following the Framework Commencement date, the Authority shall produce and issue to the Supplier a draft Supplier Action Plan. The Supplier Action Plan shall, unless the Authority otherwise Approves, be agreed between the Parties and come in to effect within two weeks from receipt by the Supplier of the Supplier Action Plan as specified in Framework Schedule 8 (Framework Management).
- 8.1.9 The Supplier Action Plan shall be managed and updated on an ongoing basis by the Authority. Any changes to the Action Plan shall be notified by the Authority to the Supplier. The Supplier shall not unreasonably withhold its agreement to any changes to the Supplier Action Plan. Any such changes shall, unless the Authority otherwise Approves, be agreed between the Authority and the Supplier and come in to effect within two (2) weeks from receipt by the Supplier of the Authority's notification as specified in Framework Schedule 8 (Framework Management).

## 8.2 Supplier Review Meetings

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

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

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

## 8.3 Framework Assurance

- 8.3.1 The Supplier shall provide the Authority with framework assurance on the following areas:
- business continuity;
  - financial stability;
  - Data and asset security;
  - risk management;

- quality of service;
- Value For Money (VFM);
- accuracy of agreed management Information and ad hoc reporting;
- environmental returns;
- initiatives; and
- continuous improvement and innovation.

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

#### 8.4 **KEY PERFORMANCE INDICATORS AND PERFORMANCE MANAGEMENT**

8.4.1 The Supplier shall comply with the Key Performance Indicators as set out in Framework Schedule 8, Section 3 (Key Performance Indicators).

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

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

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

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

- total service revenue per month;
- total number of Contracting Authorities' Call Offs per month;
- savings summary;
- opportunity pipeline;
- Service Level performance statistics;
- marketing and Communications summary.

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

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

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

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



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

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

### 8.7 **Third Party Sub-Contracting**

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

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

### 8.8 **Complaints Procedure**

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

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

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

### 8.9 **CONTINUOUS IMPROVEMENT**

8.9.1 The Supplier shall comply with the requirements set out in Framework Schedule 12 - (Continuous Improvement and Benchmarking).

8.9.2 The Supplier shall continually improve the way in which the required Services is to be delivered throughout the Framework Agreement duration to optimise savings and efficiencies and offer increased value for money across Government.

8.9.3 The Supplier shall maintain open channels of communication with the Authority to resolve issues, share lessons learned and present new ways of working during the Framework Agreement review meetings. Any proposed new ways of delivering the Services shall be brought to the Authority's attention and formally agreed prior to any changes being implemented.

8.9.4 The Supplier shall demonstrate its capability of delivering the Services and flexibility and scalability of meeting the current and future demands in relation to the Scanning strategies of Contracting Authorities.

8.9.5 The Authority shall reserve the right to make changes to the Services available to ensure that this Lot 5 remains compliant with Contracting Authorities' requirements.

8.9.6 The Supplier shall conduct twice yearly a customer satisfaction exercise and survey Contracting Authorities responses to ascertain satisfaction levels for the Services supplied. The Supplier shall produce survey results for review by the Authority.

## 8.10 **MARKETING AND COMMUNICATION**

8.10.1 The Supplier shall pro-actively work with the Authority to establish and manage a Marketing and Communications Plan. This plan will detail all marketing activities including, but not limited to, producing case studies, running or attending events, direct mail campaigns, and Social Media campaigns.

8.10.2 The Supplier shall ensure that any documents produced as a result of the Framework award (e.g. catalogues) can be provided in a variety of formats upon request by the Authority and Contracting Authorities, to ensure they are accessible to all. This requirement shall include, but not limited to, large print or a bi-lingual format.

8.10.3 The Supplier shall ensure that the emphasis of any marketing effort relating to the Framework Agreement must focus on savings and benefits to be achieved through the Framework Agreement via page output management, cost savings and/or operational efficiencies, for example, rather than benefits of the Supplier's own goods and services as an end in themselves.

8.10.4 The Supplier shall provide Data and images to the Authority and/or Contracting Authorities for the purposes of creating and maintaining electronic and other catalogues upon request.

8.10.5 The Supplier shall produce case studies of Contracting Authorities who have contracted through the Framework Agreement to highlight the savings and benefits achieved. The Supplier shall gain approval from Contracting Authorities prior to any release or publication.

8.10.6 The Supplier shall highlight Social Value, sustainability and environmental advantages and issues as part of any marketing material and specifically wherever it promotes awareness of and improvement in any of these areas.

8.10.7 The Supplier shall ensure that all marketing materials and communications which make reference to the Framework Agreement, including case studies, are approved by the Authority prior to any release or publication.

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

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

### **9.1 Contracting Authorities Management Structure**

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

9.1.2 The Supplier shall within five (5) working days of the Call Off Contract Commencement Date send to the Contracting Authorities the name and contact details (including email address and telephone numbers) of the nominated Call Off Contract Manager and Deputy Call Off Contract Manager for this Call Off Contract.

- 9.1.3 The Supplier shall communicate any change in Call Off Contract Manager to Contracting Authorities, no less than one (1) month in advance of the planned change.
- 9.1.4 The Supplier's Call Off Contract Manager shall be familiar with all aspects of the Call Off Contract and suitably experienced in the role, ensuring that all the requirements of the Call Of Contract are met or exceeded. The Supplier shall have arrangements in place to deal with annual leave or any other (un)planned absence.
- 9.1.5 The Supplier shall manage the Call Off Contract by utilising the Contracting Authorities tiered Supplier Relationship Management (SRM) approach as set out in paragraph 9.2.3, which provides escalation routes and enables development of the key strategies at senior levels.
- 9.1.6 The Supplier's Call Off Contract Manager shall ensure where service levels are not being met, that appropriate extra resources are committed promptly and action is taken to resolve any issues to the satisfaction of Contracting Authorities which may include a Performance Improvement Plan (PIP).

## 9.2 Supplier Review Meetings

- 9.2.1 Supplier review meetings shall take place with Contracting Authorities at an agreed location between both the Supplier and Contracting Authorities throughout the Call Off Contract Period and thereafter until the Call Off Contract Expiry Date.
- 9.2.2 The Supplier review meetings shall be attended, as a minimum by Contracting Authorities Representative(s) and the Supplier Call Off Contract Manager.
- 9.2.3 The Supplier shall agree the level of engagement and frequency with Contracting Authorities within one (1) month of the Call Off Contract Commencement Date, but as a minimum this shall include:

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

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

## 9.3 KEY PERFORMANCE INDICATORS AND PERFORMANCE MANAGEMENT

- 9.3.1 The Supplier shall comply with the Key Performance Indicators as agreed at Call Off stage, in accordance with Schedule 6 (Service Levels, Service Credits and Performance Monitoring).

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

- Supplier's performance against Service Levels (as set out in Call Off Schedule 6 Service Levels, Service Credits and Performance Monitoring);
- identified risks and issues and measures put in place to mitigate;
- proposals on and/or progress against agreed initiatives to perform within a leaner process;
- proposals on and/or progress against agreed initiatives to provide economies of scale.

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

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

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

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

#### 9.5 **Third Party Sub-Contracting**

9.5.1 The Supplier shall comply with the requirements set out in Clause 25 (Supply Chain Rights and Protection) of this Call Off Order Form and Call Off Terms for Goods and/or Services (non ICT).

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

#### 9.6 **Complaints Procedure**

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

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

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

9.6.4 The Supplier shall ensure that all Contracting Authorities' complaints and correspondence are logged within an "issues log" to be maintained by the Supplier's

designated Call Off Contract Manager. This record shall be made available by the Supplier to Contracting Authorities to assist with performance reviews.

## ANNEX

### ANNEX 1 – GLOSSARY

Bulk Scanning	means an agreement between Contracting Authorities and the Supplier to undertake specified Scanning project within a specified timeframe.
Call Off Contract Manager	means the Supplier's Contract Manager appointed to manage the Contracting Authorities contract.
Consumables	means goods that need to be replenished in accordance with this Framework Schedule 2.
Dashboard Report	means a high level performance report, utilising graphs and charts to indicate trends and variances in performance, covering a period to be specified.
Data	means Data relating to Records within the Scanning Service (Off and/or On-Site).
Deputy Framework Manager	means the person(s) who deputises for the Framework Manager.
Destruction	means the final stage whereby a Record which is no longer worthwhile or needed in terms of administrations, research or law is sorted and disposed of in accordance with set procedures.
Destruction Certificate	means the documentation which the Supplier is required to produce to accompany all Destructions (Physical or electronic, single Destruction or Bulk Destruction) of Contracting Authorities Records.
Destruction Date	means the day, the month or the year upon which a Record which is no longer worthwhile or needed in terms of administrations, research or law is sorted and disposed of in accordance with set procedures.
Digital/ Digitising (Records)	means the process to convert a Records into a digital format enabling it to be processed by a computer.
Disclosure and Barring Service (DBS)	means the Disclosure and Barring Service (DBS) which is a non-departmental Contracting Authority of the Home Office of the United Kingdom.
Documents Repository System (DRS)	means the system utilised by Contracting Authorities and the Supplier to store and electronically re-call scanned records. The DRS stores and manages scanned Images, Records and other types of documents.
Electronic Retrieval	means the activity of electronically obtaining information resources relevant to an information need
End to End	means the full lifecycle of Scanning Services, from intake to Destruction activity and any residual activity resulting from the Records destruction.
Equipment	means the Equipment required by the Supplier to undertake the Services it has been contracted to perform.
Framework Manager	means the person(s) who is suitably experienced and who is responsible for ensuring that all the requirements of the Framework Agreement are met or exceeded and must be familiar with all aspects of the Framework Agreement.

Government Buying Standards (GBS)	means the set of standards the Government buyers must follow and the information about sustainable procurement and how it should be applied when buying goods and services.
Government Security Classification Policy	means the system for classifying sensitive government Data in the United Kingdom.
Government Social Values	means the way the Government buyers applies it's thought processes around how scarce resources are allocated and used. It involves looking beyond the price of each individual Contract and looking at what the collective benefit to a community is when Contracting Authorities choose to award a Contract.
Highlight Report	means a report which is sent by the Supplier's Framework Manager and Call Off Contract Manager to Contracting Authorities on a minimum of a monthly and quarterly basis detailing any key issues or risks which the Supplier feels the Authority (Framework Agreement level) or Contracting Authorities (Call Off Contract level) should be aware of and progress against previously agreed key initiatives and actions.
Inventory Software	means a computer-based system for tracking inventory levels, orders and movements of goods
Marketing and Communications Plan	means the plan agreed between the Authority and the Supplier which will detail all marketing activities including, but not limited to, producing case studies, running or attending events, direct mail campaigns, and Social Media campaigns.
Microfiche	means a flat piece of film containing microphotographs of the pages of a newspaper, catalogue, or other document.
Microfilm	means film containing microphotographs of a newspaper, catalogue, or other document.
Microform	means microphotographic reproduction, on film or paper, of a manuscript, map, or other document.
Off Site	means Services performed at a Suppliers premises
On Site	means Services performed at a designated Contracting Authorities office or other location.
Performance Improvement Plan	means a plan that recognises failures in delivery and identifies corrective action(s) and timeline(s) for each targeted performance are with assigned accountability.
Personnel	Means the Personnel of the Supplier with whom Contracting Authorities have entered into a Call Off Contract.
Physical (Records)	means any Contracting Authorities file(s), supporting post or box.
Record(s)	means any Contracting Authorities' File, Document, Item, i.e. recorded information, in any form, created or received and maintained by Contracting Authorities in the transaction of its business or conduct of affairs and kept as evidence of such activity which is to be stored in the store as part of this Framework Agreement and subsequent Call Off Contracts.
Records Information Management	means the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of

	and information about business activities and transactions in the form of records
Requestor	means the User who requests access to the Records
Scanning	means the process by which paper documents are copied and saved as digital images
Service Levels	means Contracting Authorities specified Service Levels linked to specific functions which the Supplier is required to undertake as part of the Contract
Social Media	means websites and applications that enable Users to create and share content or to participate in social networking.
Supplier Action Plan	means a document, maintained by the Authority, capturing information about the relationship between the Parties including, but not limited to strategic objectives, actions, initiatives, communication channels, risks and supplier performance
Supplier Relationship Management	means the discipline of strategically and operationally planning for, and managing, all interactions with Suppliers that supply goods and services to the Authority via this Framework Agreement or Contracting Authorities via subsequent Call Off Contracts, in order to maximise the value of those interactions.
UK Bank Holidays	means all UK Bank Holidays which are detailed in the link below: <a href="https://www.gov.uk/bank-holidays">https://www.gov.uk/bank-holidays</a>
User	means either a member of Contracting Authorities' Personnel or Supplier employee.