



RM3781: Multifunctional Devices, Managed Print and Content Services and Records Information Management

Lot 4: Records Information Management Services

Guidance Document: Why Lot 4?

Issue 1.9

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What is the Lot 4 service provision?

The Lot 4 service covers all aspects of the Records Information Management services you may require.

This modernised Lot 4 service is designed to provide you with a full end-to-end service provision containing all of your required Records Information Management services ranging from Storage solutions, Scanning, Destruction and Disposal right through to the innovative Specialist Records Management services which are used by government to review records under the Public Relations Act 1958 (also known as 20/30 Year Rule). *Further information on the Public Records Act and 20/30 Year Rule is detailed under 'Specialist Records Management services – what are they and why might I use them?' toward the end of this document.*

There are 6 individual services which make up the Records information Management service:

Service Line (SL)	Service Description
SL1:	Off-Site Records Information Management Service
SL2:	Off-Site Storage of Inactive Records
SL3:	Off-Site and/or On-Site Secure Shredding, Destruction and Disposal Services
SL4:	Off-Site and/or On-Site Specialist Records Management Services
SL5:	Off-Site and/or On-Site Combined Records Information Management Services
SL6:	Off-Site and/or On-Site Scanning Services (This service is only available when using one or more of SL 1-5 above, not available independently)

How many Suppliers are available?

There are four suppliers available under this Lot. Each of these suppliers provide all six Service Lines (full end-to-end service).

In order to obtain your Lot 4 services, you will be required to undertake a further competition exercise, inviting all four of the suppliers to bid for your requirement, as direct award is not permitted.

Once you have identified your winning Supplier you can agree and award a formal contract to that Supplier, and the contractual details of your agreement should be entered into a Call Off Agreement.

A copy of the Call Off Agreement (listed on web page as Call Off Order Template) is located within the 'Document' tab on the RM3781 framework page. You may use this document, or alternatively your own order form. If using your own order form, **please ensure you quote RM3781 within the agreement in order for the framework terms and conditions to apply.**

Supplier contact information is available at the end of this Customer Guidance document.

How do the 6 Service Lines work under Lot 4?

Annex A provides you with extensive detail regarding each of the Service Lines, purpose and benefits and how best you can use the services.

Essentially you can select one, some or all of the service lines to suit your specific requirement. The structure of Lot 4 is specifically designed to allow you the flexibility to select the services which best suit your short, medium and long term requirements throughout the term of your Call Off Agreement.

In order to help you determine your options further, you may benefit from the following information:

1. If you are looking to store records with us under Service Line 1 and/or Service Line 2 we highly recommend you:
 - ❖ Consider each of the 6 Service Lines, determine which of them you 'may' require at any point throughout your contract term, and then select those services at the further competition stage. This will be your optimum time to tender your collective requirement with all of the 4 suppliers.
 - ❖ Take advantage of Service Line 2 Inactive storage, in support of Service Line 1 Records Information Management Services. This will allow you to proactively manage the records you know, (or will get to know through future contract management activity), that are not being retrieve and therefore could be store under the Inactive service and potentially achieve better storage rates.
 - ❖ You can also use Service Lines 1 and/or 2 independently, meaning if you do not require any other service under the Lot 4 offering except Service Line 1 and/or 2, then you are able to undertake a further competition for this service line only.

2. If you already have an Off-Site Records Storage provider or are currently storing On Site, therefore do not require Service Line 1, you are eligible to:
 - ❖ use Service Lines 2, 3, 4 and/or 5.
 - ❖ also use Service Line 6, but only if you are using one service from 2, 3, 4 and/or 5.
 - ❖ use any Service Line from 2, 3, 4 and/or 5 independently, meaning you are able to undertake a further competition if you want to use just one of the aforementioned service lines only

3. If you have an Service Line 3 Secure Shredding, Destruction and Disposal requirement you:
 - ❖ are eligible to use this service in conjunction with Service Lines 1, 2, 4, 5
 - ❖ can also use Service Line 6, but only if you are using one service from 2, 3, 4 and/or 5
 - ❖ can use this Service Line 3 independently, meaning if you do not require any other additional services under Lot 4 then you are able to undertake a further competition for this service line

4. If you are looking to use the Service Line 4 Specialist Records Management services, you are:
 - ❖ eligible to use this service in conjunction with Service Lines 1, 2, 3 and/or 5
 - ❖ can also use Service Line 6, but only if you are using one service from 1, 2, 3, and/or 5
 - ❖ can use Service Line 4 independently, meaning if you do not require any other additional services under Lot 4 then you are able to undertake a further competition for this service line

5. If you require a Service Line 5 Combined On and Off Site Records Information Management service, you are:
 - ❖ eligible to use this service in conjunction with Service Lines 1, 2, 3 and/or 4
 - ❖ can also use Service Line 6, but only if you are using one service from 1, 2, 3, and/or 4
 - ❖ can use Service Line 5 independently, meaning if you do not require any other additional services under Lot 4 then you are able to undertake a further competition for this service line

6. If you are looking just to Scan your records, please note:

- ❖ The Scanning service within this Lot is available to you ONLY if you are utilising one or more of the Services Lines within this framework. Its purpose is to supplement the other Records Information Management services.
- ❖ If you want a Scanning service, but are not utilising any other service line within this framework, then you may want to consider Lot 5 Scanning Services within this RM3781 framework.

Which services do you recommend I use together to ensure economies of scale?

You are free to select one, some or all of the Service Lines under Lot 4. However we highly recommend you select all of the Services Lines you think you may need covering short, medium and long term requirements (i.e. covering the entire term of your Call Off period) when undertaking a further competition exercise. This way you will get the most competitive the suppliers are they will be bidding against each other for your business.

- ❖ In the event you require Service Lines 1 & 2, we highly recommend you include the requirement of Service Line 6 in order to take advantage of economies of scale as it would be more advantageous for the supplier storing your records to pick, scan and either destroy or return the record to the file store.

Why consider Lot 4?

- ✓ Provides you with a full end-to-end Records Information Management services
- ✓ Negates the need to run multiple further competitions as all within one Lot
- ✓ All 4 suppliers provide the full end-to-end services therefore great competition for your business
- ✓ Highly competitive framework rates
- ✓ Further reductions available through further competition
- ✓ Only framework to provide Specialist Records Management services supporting Records Transfer Process via the Public Records Act under 20/30 Year rule
- ✓ Opportunity to determine terms, timescales and costs of 'exiting' your arrangements at the further competition stage
- ✓ Provides the opportunity to outsource all of your Records Information Management requirements

What information do I need to know before undertaking my Further Competition?

You may find some of the following suggestions helpful.

Service Line 1 and 2 – Records Information Management and Inactive Records services:

- ❖ Know whether you require Service Line 1 and/or 2 to form part of your further competition
- ❖ Know the volume of records to be stored and at least an indication of the transactional activity (e.g. retrieval of record/box, data amendments, linking, transport) that is likely to take place, per annum if possible

- ❖ Try to identify which of your records could be deemed Inactive and look to use Service Line 2 to obtain more competitive rates for this service
- ❖ Know your current spend per annum on Records Management as this will help you baseline your current costs and establish exactly where savings are achieved following your further competition
- ❖ Be fully aware of your existing Records Management agreements, expiry dates, break terms etc. to ensure the correct point and terms of exiting your current agreement and establish the volume records your current provider can extract daily in order to transfer to new supplier
- ❖ Know whether you require transport services or will use alternative provision
- ❖ Know whether you require consumable items or will obtain them via alternative routes i.e. Office Supplies framework
- ❖ Your specification of requirements and supporting cost model should be devised in order to clearly establish what your full lifecycle costs of storing your records will be, taking into account the estimated volume of transactional activity that may take place that incur additional costs i.e. retrieval, data amendments, linking, transport, consumables etc. This MUST also include the cost of exiting your agreement once the Call Off period has expired. *Please refer to Exit Costs below for further information and suggestions for inclusion within your further competition documentation.*
- ❖ Ensure you are aware of your full costs to exit the contract prior to entering into your Call Off Agreement by including charges to exit your contract within your further competition pricing model (e.g. Retrieval: Permanent Record Withdrawal (NO DESTRUCTION) and/or Permanent Single Box Withdrawal (NO DESTRUCTION)).
- ❖ If you are looking to undertake bulk destruction programmes in order to reduce your record/box holding during your Call Off Agreement period, you may want to consider including tiered volume ranges within your further competition. Instead of pricing to permanently withdraw by individual record or box, the suppliers could price against volume ranges. This should provide greater pricing opportunities and incentivise you to reduce your record holding.

Service Line #3 – Shredding, Destruction and Disposal

- ❖ Know the areas of coverage, number of locations and if possible the associated volumes
- ❖ Know the type of service requirement e.g. On Site, Off Site, Mixture, Confidential, Non-Confidential, Bin Swap, Decanting
- ❖ Know the frequency of the service you require i.e. weekly, fortnightly, monthly
- ❖ Know the type of 'equipment' you need to support the service required e.g. bins, consoles etc.
- ❖ Know your current spend per annum as this will help you baseline your current costs and establish exactly where savings are achieved following your further competition

Service Line #4 – Specialist Records Management services

- ❖ Know the service and/or services you require
- ❖ Know which of them you want incorporated within a long term contract i.e. the provision of Appraisal and Selection, Triage Sensitivity Review and Record Preparation services for a 3 year period
- ❖ Know which of them you want to undertake as one-off projects i.e. the provision of a cataloguing service to start and end within a 3 month fixed period
- ❖ Know or at least be able to estimate the volume of records that will need any service being undertaken on them
- ❖ Know how you want each service to be performed and exactly what information, guidance and/or legislation is to be applied
- ❖ Know which guidance, policy information and selection criteria
- ❖ Know how you want to conduct your Induction Event and whether you want to complete one for all services or individual ones for each service you contract – further information and advice on how to conduct the Induction Event can be found under Service Line 4 within Annex A
- ❖ Where possible, know your current spend per annum on each Specialist service you select (regardless of whether done in-house or outsourced) as this will help you baseline your current costs and establish exactly where savings are achieved following your further competition

Service Line #5 – Combined Records Information Management services

- ❖ Know what your strategic objectives are for this service
- ❖ Clearly state within your specification of requirements what your current situation is, where you want to be, how you want this to be undertaken, and at what point you require completion
- ❖ Share any risks and issues to the delivery of your requirement within your specification in order for the suppliers to fully understand your requirement, and provide you with the best solution at the best price
- ❖ Know the volume of records that need to be managed, the location(s) they reside in, and what exactly needs to be done with them
- ❖ Know what your current costs of the services currently in place (whether they are outsourced or currently done in-house) per annum, as this will help you baseline your current costs and establish exactly where savings are achieved following your further competition
- ❖ Ensure you are aware of your full costs to exit the contract prior to entering into your Call Off Agreement by including charges to exit your contract within your further competition pricing model (e.g. Retrieval: Permanent Record Withdrawal (NO DESTRUCTION) and/or Permanent Single Box Withdrawal (NO DESTRUCTION)).

Service Line #6 – Scanning services

- ❖ Know what you want Scanned, how you want it to be done, and the type/range of records i.e. paper, hard drive, USB, DVD etc.
- ❖ Know, or at least be able to estimate, the volume of records (and number of pages) that will need any service being undertaken on them

- ❖ Know whether you want single or double sided Scans and also what size i.e. A5, A4 etc.
- ❖ Know the quality control, image resolution you require and whether this is standard or will change depending on the records/images to be Scanned (Please note: a higher resolution is required if you are Scanning images to be sent to The National Archives under the 20/30 Year Rule)
- ❖ Know whether you require the Supplier to store your digital image (and for how long) or whether you require it to be uploaded on to your own Document Repository System
- ❖ Know whether you require transport services or will use alternative provision
- ❖ Know when you want your Scanning project or contract to start and end
- ❖ Know your current spend per annum (or any recent costs) as this will help you baseline your current costs and establish exactly where savings are achieved following your further competition
- ❖ Know whether you require some, all or none of your records to be destroyed once they have been Scanned and whether you require your Lot 4 supplier to undertake this service for you

What weightings can I use at further competition?

When conducting a further competition, you are able test the supplier's responses to your specific requirements on both quality and price.

You may determine your criteria and weighting within the following ranges:

Price 30-50%	Quality 50-70%
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Further information on weightings can be found within CCS website (refer to link below) inside the 'Document's tab.

<http://ccs-agreements.cabinetoffice.gov.uk/contracts/rm3781>

The overarching Framework Agreement and your Call Off Agreement following further competition

The Framework Agreement is the overarching contract between each of the Suppliers and CCS. This agreement is for four years and expires 26th October 2020.

During this four year period, you are able to undertake a further competition with all of the Lot 4 Suppliers awarding your contract - called a Call Off Agreement - to your winning Supplier **for a maximum of seven [7] years**.

Pricing

The framework rates are the maximum rates the Suppliers can charge at any point during the overarching Framework Agreement. These rates will remain fixed for the first two [2] contract years of the Framework Agreement between the Supplier and CCS.

When you undertake a further completion, it is expected the Suppliers will reduce these rates again in order to obtain your business.

- The Supplier's Day Rate charges include costs associated with providing the On Site and Off Site services as specified within the framework specification of requirements.
- These rates do NOT include the Supplier's travel and subsistence costs which will be chargeable to you, but will be in line with your specific travel and subsistence policy.

Exit Costs

CCS highly recommends you give consideration, within your further competition specification and pricing model, how you will exit the contract both leading up to, and after expiry. Leading up to, meaning ensuring your Supplier has the planned and agreed exit strategy in place ready to be implemented. After expiry, meaning the extraction has already begun, or is due to commence.

You may consider some of the following points useful:

- ❖ Ensure you are fully aware of your total cost to exit the contract, prior to entering into your Call Off Agreement, by including your requirements within your further competition specification and competing all associated charges within your pricing model.
- ❖ Incorporate the requirement for the supplier to provide cost (per record and/or box) and the timescales for extracting your records from the supplier once your Call Off Agreement has ended. An example of this may be: total of 3,000 boxes stored – therefore 200 boxes extracted per day over 15 working days.
- ❖ Alternatively, you may know how quickly you wish to exit your records and can stipulate this as a requirement within your specification. However, in doing this you need to be both reasonable and realistic with your timescales.
- ❖ If you are planning to reduce your file holding during the contract period (i.e. through destruction and/or scanning projects), consider pricing in volumes on a sliding scale.
- ❖ Make sure you consider the activities of 'Retrieval', Permanent Record Withdrawal (NO DESTRUCTION) and/or Permanent Single Box Withdrawal (NO DESTRUCTION) within your pricing model. These are the processes undertaken by the Supplier to permanently withdraw a record and/or box as a minimum.

Supplier Contact Details

Customers are strongly advised to engage early with all suppliers when considering Lot 4.

<u>Supplier</u>	<u>Service Information</u>	<u>Further Competition Tenders to:</u>
Banner Group Ltd	Esther Murdock Mobile: 07801 180 641 Email: esther.murdock@bbanner.co.uk	bids.tenders@bbanner.co.uk
GenMed	Conor Moore Office: 01932 503112 Email: conor.moore@genmed.eu	admin@genmed.eu
Iron Mountain	Ellis Mugridge Mobile: 07557 545 847 Email: emugridge@ironmountain.co.uk Dee-Ann Guy Mobile: 07824 354 159 Email: dguy@ironmountain.co.uk	bidmanagement@ironmountain.co.uk
Restore	Becky Rowarth Office: 01293 787257 Mobile: 07860189203 Email: becky.rowarth@restore.co.uk	tenders@restore.co.uk

For further information please contact:

CCS: Customer Helpdesk – 0345 410 2222 / info@ccs.gsi.gov.uk

YPO: Zoe Morgan-Kriek – 01924 821755/ zoe.morgan-kriek@ypo.co.uk
Sarah Sessum – 01924 834 895 / sarah.sesum@ypo.co.uk

Specialist Records Management services – what are they and why might I use them?

Crown Commercial Service created 6 Specialist Records Management services for the supply market in order to assist government in reviewing its records and compliance with the records transfer process under the Public Records Act 1958 also known as the 20/30 Year Rule.

The 6 Specialist Records Management services are: Cataloguing, Listing, Appraisal and Selection, Triage Sensitivity Review, Fully Managed Sensitivity Review and Record Preparation services and are available within the following Lots:

Lot 4	Cataloguing, Listing, Appraisal & Selection, Triage Sensitivity Review and Record Preparation Services
Lot 6	Sensitivity Review Service (Fully Managed and Triage services available)

Further details of the Lot 4 services will be explain within Table 1 below.

Further details of the Lot 6 service Sensitivity Review service is available within the Why Lot 6? Guidance document available via the CCS website.

Background to why they were created for the Supply market

The Public Records Act requires certain public bodies to transfer records of historical value for permanent preservation to The National Archives or alternative places of deposit. Government departments are currently in transition from release at 30 years to release at 20 years.

The National Archives is the official archive and publisher for the UK government and guardians of over 1,000 years of iconic national documents.

Organisations which are subject to The Public Records Act are Central Government departments and Local Public Sector organisations.

Currently, these public bodies are undertaking most of these Specialist Records Management services in-house. However, due to the volume of records that require reviewing, internal capacity issues and transferring within a specific legal timeframe, we know from extensive engagement, organisations are keen to outsource these services to the Specialist Records Management market via this framework.

As a consequence, CCS has consulted records managers within the Foreign and Commonwealth Office and across central government who have provided detailed information and advice on requirements for each of these specialist services.

CCS has also worked closely with its key partner The National Archives, to obtain expert knowledge and advice on the Records Transfer process, ensuring the Specialist Records Management services fully comply with its guidance, governance procedures, and all current and applicable legislation.

As a result of these key collaborations, CCS has created these 6 brand new Specialist Records Management services to the Records Management supply market. These services have the potential to alleviate internal capacity issues across government by allowing our suppliers to identify, select and review your records in order to transfer to the appropriate place of deposit within your specific legislative deadlines.

Service Line	Service Description	Availability	Call-Off Route
#1	Off-Site Records Information Management Service (full End-to-End Service)	This service line is available to <u>any</u> customer and highly recommended in conjunction with service line #2	Further Competition Only – all Suppliers must be invited to bid

The Service

This service provision offers the full Records Information Management (RIM) services which includes:

- Intake of records
- Updating content onto the RIM system
- Barcoding
- Placing within a secure location within store
- Retrieval
- Bulk Operations (see below)
- Cost reduction and Project Solutions (see below)
- Consumable items e.g. boxes
- Transportation
- Help Desk
- Stored within a secure environment ISO27002 standard

from intake of records, updating onto the Records Information Management System, barcoding, placing within a secure location and retrieval and return when required.

Purpose and benefit to you

This service also allows you to work with your supplier to reduce your record holding in line with your specific policy and procedures. The presumption for this service is that your records are 'Active' meaning being stored within an Off-Site location as they are likely to be retrieved by your business users on a regular basis.

Examples of this may be:

- **Planned Destruction Programmes:** whether on a small or large (known as bulk) scale;
- **Bulk projects:** i.e. Intake, Retrieval of records, Data Integrity/Cleansing/Capture, Embargo etc. for large volume records
- **Box Consolidation:** fully optimising the use of space by inserting new records within boxes which have spaces in (potentially due to records having been destroyed), reducing the number of boxes held and therefore reduced storage costs
- **Inactive Records:** your supplier will report details of any records that have not moved from the record stores within e.g. 6 or 12 month period. This will provide you with the option of moving those records from the more 'Active' to the 'Inactive' area within the record stores, requiring far less supplier activity, and therefore lower storage charges to you. ***[This is just one of the reasons why we recommend you include additional service lines within your further competition as it provides you with more options further down the line!!]***

Please note that both areas within the record stores are governed by the same strict security requirements and procedures.

How you can best use it

- You are advised to know as much about your requirement as possible to ensure you both identify and contract the service provision your require covering the short, medium and long term requirements
- Determine if you require the supplier's transport services - whether on a permanent or ad-hoc basis – or will be utilising any current arrangements you may have in place
- Decide if you want to include consumable items as part of your service provision
- We strongly recommend you also select service lines **#2, 3, 4, 5 and 6** to support your Off Site Records Management requirement as this will give you greater economies of scale and obtain the best rates from the competing suppliers.

#2	Off-Site Storage of Inactive Records	This service line is available to <u>any</u> customer, and highly recommended in conjunction with service line #1	Further Competition Only – all Suppliers must be invited to bid
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The service

This service offers an Off-Site Storage service for 'Inactive' records. Inactive records are either *never*, or *rarely* retrieved from the record stores, hence the term 'Inactive'.

Purpose and benefit of this service to you

This service will provide you with a tremendous opportunity to reduce your costs and store records that are required to be kept - but do not require retrieval from your business areas - therefore incur minimal or no activity by the supplier, providing you with extremely competitive storage charges.

Key point of this service:

- Enables storage of records you do not need access to but require retention e.g. legislative requirements
- Is available to customers storing records within agreements outside of this framework (e.g. transferring their Inactive records to RM3781)
- Security levels for this Inactive Storage service are exactly the same as for Off-Site storage requirements

How you can best use it

Potential situation examples:

- a) SL1 supplier providing SL2 service: agree process to transfer Inactive records from main storage site to Inactive site/area within store (e.g. 6/12 month review of activity)
- b) Contracting under SL2 only, and transferring Inactive records from your non-framework service/supplier to RM3781: Transfer in tranches to your new supplier – agree start and end point with the supplier
- c) Contracted under SL1, but have not included SL2 within your requirement and want to run another further competition:

Ideally before you contract under this framework, you (or your incumbent supplier) will be in a position to identify (or estimate) the number of records that you will:

- a) require regular access to; or
- b) will not or rarely retrieve from the record stores.

However, in the event this is not possible, your supplier will report details of any records that have not moved from the record stores within a 12 month period (or less if you prefer). This will give you precise data to consider the option of moving records from the more active area within the record stores to another area within the record stores which requires less activity and therefore lower storage charges.

- If you want to store your Active and Inactive records with the one supplier, you can undertake a further competition for service line #1, 2 (and 3, 4, 5 and 6 if you require them) within your overall requirements and award to the winning supplier OR
- If you do not require an Off Site Storage service (under service line #1) and just require storage of Inactive records, then you can undertake a further competition for service line #2 (and 3, 4 and 5 if you require them)
- If you at any point require your Inactive records to be scanned, you have the option of:
 - a) *Having your Inactive Records (#2) provider undertake this service as part of your overall provision;*
 - b) *Undertake a further competition inviting all Lot 4 suppliers to bid; OR*
 - c) *Undertake a further competition under Lot 5 of this framework.*

#3	Off-Site and/or On-Site Secure Shredding, Destruction and Disposal Services	This service line is available to <u>any</u> customer	Further Competition Only – all Suppliers must be invited to bid
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The Service

The core requirement of Service Line 3 is for the provision of a UK wide Off-Site and/or On-Site secure Shredding, Destruction and Disposal Service utilising the Supplier's own premises (including Sub-Contractor premises) or the Contracting Authorities premises.

The Supplier shall manage the process of securely Collecting, Shredding and the Destruction and Disposal of protectively marked waste, (whether based on a regional portfolio or national footprint), by undertaking this requirement based upon a lowest mile, lowest CO2 emissions and cost efficient basis National coverage across the UK (including Northern Ireland).

Services available:

Service Level 1: Non-Confidential Un-Shredded or Pre-Shredded paper waste, Destruction and Disposal services. (NON EVAL)

- Collection of non-confidential and un/pre-shredded waste from a pre-agreed collection point (e.g. 1100 litre container) and shall transport it directly to a hub or distribution centre for bailing

Service Level 2: Confidential waste: Off-Site Shredding, Destruction and Disposal Services (IN MODEL)

- Waste stored in lockable containers and/or bins of varying sizes and where appropriate sacks
- Destruction of records undertaken Off-Site – either supplier’s or third party premises
- Bin Swap service available - remove lockable container, replacing with empty one before the collection vehicle leaves premises
- Decanting service available: transfer from console or sack into a secure container/console on the vehicle for transportation Off-Site, and providing a waste transfer certificate

Service Level 3: Confidential waste: On-Site shredding, Destruction and Disposal Services (IN MODEL)

- Collection of confidential waste from the specified containers, consoles and sacks
- On-Site Shredding performed in secure vehicles at your own Site(s)
- Certificate of Destruction provided after each collection has been destroyed, specifying Destruction witness and weight

Service Level 4: Bespoke Shredding, Destruction and Disposal requirements (NOT LISTED ANYWHERE)

- Document Destruction of extensive archived Material at premises with specific/specialist security requirements (e.g. prisons)
- Provision of all materials, consumable items and equipment required for providing this service, including the delivery, installation and ongoing support of equipment required to deliver the service
- All vehicles have GPS-tracking and mobile communication links with their operational bases

Standards applicable:

- EN 15713:2009 (E) – Destruction
- ISO 9001:2008 - Quality Management

Purpose and benefit of this service to you

This service allows you to plan your destruction and disposal requirements whether planned via scheduled collections and/or ad-hoc requirements. It also allows you to mix and match your requirements specific to certain regions and/or building requirements. For example: Off-Site service for sites within city centres and On-Site service for sites within the more urban areas.

How you can best use it

- Know the number of sites you want to cover
- Know the type of service(s) you require at each site, and the timescale for this to be undertaken i.e. weekly, monthly etc.
- Be open to suggestions from the supplier as to how your service may operate as there may be opportunities for savings to be made. For example, your collections requirements may coincide with other similar size customers and therefore economies of scale may be achieved.

#4	Off-Site and/or On-Site Specialist Records Management Services: * Listing * Cataloguing *Appraisal and Selection *Triage Sensitivity Review *Record Preparation Services	This service line is available to <u>any</u> customer	Further Competition Only – all Suppliers must be invited to bid
<p><u>The service</u></p> <p>The Specialist Records Management Services have been devised in order to offer public bodies the opportunity to fully outsource the service of reviewing its records, identifying information of historical importance, sensitivity reviewing content where necessary, and transferring specific records to The National Archives within legal timescales under the Public Records Act, also known as the 20/30 Year Rule.</p> <p>These services have been devised by CCS in consultation with Records Managers from Foreign and Commonwealth Office, The National Archives and across central government who have extensive expertise across all disciplines.</p> <p>The National Archives fully supports this framework as all service provisions are in line with its policies and procedures:</p> <ul style="list-style-type: none"> ❖ Access to public records ❖ Approved Places of Deposit ❖ Best practice guide to appraising and selecting records for The National Archives ❖ Cataloguing conventional records ❖ Closure Periods ❖ Excel TNA Catalogue template ❖ Guide to Freedom of Information – Information Commissioner’s Office (ICO) ❖ How to compile an Appraisal Report ❖ Operational Selection Policies guidance ❖ Operational Selection Policy 48 – Case Files ❖ Records collection policy ❖ Preparing Records for transfer to The National Archives ❖ Sensitivity Review Quick Reference Guide ❖ Series Level Appraisal questionnaire ❖ What is Appraisal? <p>The Specialist Records Management Services are:</p> <ul style="list-style-type: none"> ❖ Listing: The Supplier will transcribe and input information from a Record into a list which shall then be transposed into a catalogue template. For example: <ul style="list-style-type: none"> ❖ Cataloguing all incoming new Material to required standards ❖ Re-cataloguing Material for any item moved within the library ❖ Maintaining and updating existing catalogue Record(s) 			

- ❖ Serial tracings and modification of subfields
- ❖ Adding journal/serial Record(s) and creating hyperlinks
- ❖ Standardising catalogue Record(s)
- ❖ Retrospective Cataloguing of material

- ❖ **Cataloguing:** The Supplier will extract information from a specific Record and/or bringing a Listing up to a specific standard, determining a description for that Record from which metadata can then be searched later using descriptions and Titles within those catalogues.
For example:
 - ❖ Record name
 - ❖ Record date range (e.g. first date and latest date)
 - ❖ Record subject matter
 - ❖ Record closure description (e.g. open, Closed, no FOI Exemptions and FOI)
 - ❖ Exemptions apply

- ❖ **Appraisal and Selection:** The supplier will identify records containing historical information, based on the selection criteria stated by you at the Induction event and in line with the Terms of Reference agreed between the parties for each individual project undertaken. Further information on Induction Event, Terms of Reference and Selection Criteria are set out below.

Appraisal Processes:

1. **Macro Level** - process within a Contracting Authorities business function(s) between a certain time period, in order to identify information of historical importance and determine whether further appraisal techniques shall be undertaken.
 2. **Record Level Appraisal** - an appraisal of Records at Record title level within the Contracting Authorities business function at a certain time period to identify information of historical importance.
 3. **Departmental Level** - the process of identifying Records containing historical information by reviewing Records as per the Contracting Authorities organisational structure e.g. finance, HR and policy departments
 4. **Series Level** - the process of identifying Records containing historical information by reviewing the Contracting Authorities Records by Series.
 5. **Record Title selection processes (including mixed series appraisal, selection criteria and Record Title Appraisal and Record-by-Record Appraisal (also known as File-by-File review))** - the process undertaken in order to identify information of historic importance from the name of the Contracting Authorities Record.
- ❖ **Triage Sensitivity Review:** You will state which of your records requires a sensitivity review and the supplier will undertake that sensitivity review in line with your specific requirements i.e. trigger words/phrases
 - ❖ **Record Preparation:** Preparation of the individual record and/or box of records in line with your specific requirements and TNA guidance. It will be for the Departmental Records Officer (DRO) from your respective organisation to obtain the required transfer documentation in addition to arranging and undertaking the actual transfer of the records to TNA or other Place of Deposit (PoD)

The Induction Event: Following award of your contract you will be required to hold an Induction Event with your Supplier. Please note this event is not intended to be a formal event resulting in a series of presentations between the parties – exactly the opposite in fact.

The purpose of the Induction Event is for you and your Records Management experts to meet with the Supplier’s representatives who will be managing and undertaking your contractual requirements, prior to any activity being undertaken, and for you to state:

- Exactly how you require each of your contracted services to be carried out – for example:-
 - Listing – which information shall be transcribed and how it shall be transposed onto the Catalogue template (or alternative)
 - Cataloguing – which information shall be extracted and/or format of descriptions
 - Appraisal and Selection – your preferred appraisal and selection method(s) for specific types of record, when mixed appraisal processes are applicable, which selection criteria, Operational Selection Policies and Civil Service Year Books (or any specific criteria you may require) shall be used and when, and finalise the content of your reporting requirements
 - Triage Sensitivity Review – indication of trigger words, phrases and subject matters that may indicate sensitive information is contained within the record, how you want the supplier to review your records in order to identify potentially sensitive information, who will undertake the redaction (you or the supplier) and whether this will be for all or specific range of records, and finalise the content of your reporting requirements
 - Record Preparation – making your records (either individually or per box) ready for transfer to The National Archives and/or alternative Place of Deposit
- It is your decision as to whether you hold one event covering all of the Specialist Records Management services you have contracted, hold individual ones in order to concentrate the event on specific disciplines, or combine some of the sessions together. An example of the combined sessions may be if you have contracted all of the services, Event #1 Listing, Cataloguing and Record Preparation, Event #2 Appraisal and Selection and Event #3 Triage Sensitivity Review.

The Lot 4 Specification of Requirements provides further information on what shall be covered at the Induction Event for each Specialist Records Management service.

Terms of Reference:

There is a requirement for you and the Supplier to agree Terms of Reference in advance of each individual Appraisal and Selection project undertaken.

- The purpose of this is for both you and the supplier to be absolutely clear on how each individual project shall be carried out, for example:
 - The range of records to be reviewed
 - How it shall be conducted,

- Appraisal method(s) to be used,
 - Timescale for start/completion of the project
 - Agreed resources applicable and the time period they will be allocated; and
 - Reporting requirements.
- The Supplier is obligated to ensure it fully understands the requirement to deliver your individual project, and is in receipt of all information it requires to conduct the service, prior to the start of any project. This means there is also an obligation on you to ensure your requirements are clearly conveyed to the supplier and it is in receipt of all necessary information to conduct the service and deliver the project in line with your requirements.
- Although the framework Specification of Requirements states this is a requirement for the Appraisal and Selection service, it may be of benefit to utilise this option of agreeing Terms of Reference with the Supplier prior to any of your projects, whether it be for Cataloguing, Triage Sensitivity Review or Record Preparation services. This may be a good way for both parties to ensure the right information and communication of requirements is being undertaken which will no doubt, result in a better delivery of service to you.

On Site Rates:

Please note that the day rates for all On Site services include all associated overheads to provide the service to you, such as room hire, utilities, security etc. in line with the Specification of Requirements stated for these services. As a consequence, you should not pay any additional charges. However, in the event you require your service to be undertaken at Off Site premises with a higher specification of requirements than are stated within the Lots 4 Specification, then you may incur additional charges in order to meet your requirement.

Purpose and benefit of this service to you

Purpose: The purpose of these services is to alleviate the capacity issues in reviewing physical records within public organisations and offer you an alternative service provision to review and transfer to The National Archives (or alternative Place of Deposit) within legal timescales.

These services have been designed specifically for the review of paper-based records only, with the exception of records in the form of DVD, microfilm and microfiche only, and does not cover the transfer of Information and Communications Technology (ICT), in other words borne digital data.

Benefits:

- These services will be undertaken in line with legislative requirements under the:
 - Freedom of Information Act ;
 - Data Protection Act 1998;
 - Environmental Information Regulations 2004;
 - Statute Bars, Section 44 of the FOI Act Prohibitions on Disclosure; and
 - Public Record(s) Act 1958– in addition to any other specific legislative requirements you may have.

- They have been designed mainly for Public Bodies subject to the Public Records Act (PRA). However, if your organisation is not currently subject to the PRA 1958, but you want to undertake a review of their records, then the services are also available to you.

How you can best use it

- Can utilise one, some or all of the services under one further competition
- Can use for short, medium or long term Call Off contract - up to maximum of 7 years
- Can use for one-off projects
- Can use for short-term contract periods for example 1 year with a view to extending for a further 1 year, or running another further competition

#5	Off-Site and/or On-Site Combined Records Information Management Services	This service line is available to <u>any</u> customer	Further Competition Only – all Suppliers must be invited to bid
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The Service

The core requirement is for the dedicated provision of a UK wide Off Site and/or On-Site Records Information Management Service utilising the Suppliers own or third party's premises or the Contracting Authorities own premises/facilities.

This service is provided for customers who *currently* have either:

- An existing On-Site Records Information Management service; OR
- Combined Off and On-Site Records Information Management service

Please note: In order to use this service you must have a clear and planned transition agreed between your organisation and the Supplier to provide a full Off-Site or Combined Off-Site and On-Site Service Records Information Management Service ONLY where a planned move to a fully Off-Site Records Information Management Service is a defined strategic objective. In other words the Combined service (whether On or Off Site) shall be an interim measure for you to move to a fully Off-Site Records Information Management service, which ideally shall be at the end of your Call Off period.

Purpose and benefit of this service to you

The purpose of this service is to allow you to move your current service to a fully Off-Site Records Information Management service within an agreed time period. This may for example involve estate rationalisation programme, review of Inactive records or undertaking a bulk destruction/data change programme before moving to a fully Off-Site requirement.

How you can best use it

- Know how you want the new service to be conducted and timescale for when you want your new Off-Site Records Information Management service to be in place
- Clearly communicate details of your transition plan and strategic objective(s) to your supplier in order for it to provide the most effective service to you
- Know and clearly articulate your critical timeframes, risks and any key milestones which form part of your transition plan to your supplier in order for its plan of delivery to align with yours.

#6	Off-Site and/or On-Site Scanning Services	Available Service Line #1 customers <u>ONLY</u> as provides true economies of scale when scanning records stored with your provider.	Further Competition with Service Line #1 Only – all Suppliers must be invited to bid
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The Service

This service line is only available to customers that are contracted to use one of more of the services under this Lot – Service Lines 1, 2, 3, 4 or 5 – as the Scanning service has been specifically incorporated to support the provision of an end-to-end Records Information Management service.

We highly recommend that if you are looking to undertake a further competition for Service Line #1, you include the requirement for Scanning services as part of your requirement. This will result in greater economies of scale as you will only be contracting, managing and incurring costs with one supplier.

If you require a Scanning service and are not storing records with us under this framework, then you may wish to review the Scanning Service provision set out in Lot 5 of this RM3781 framework.

Services available:

Scanning Services (Off and/or On-Site)

- Document Scanning & Digitising of paper images (or other media as specified)
- Pre Scanning Services
- Bulk Scanning
- Archiving

- Inventory software
- On line customer access
- Secure storage and access
- Electronic Retrieval (Secure File Transfer Protocol)
- Document Storage Solution Development
- Disposal and Destruction
- Risk assessment
- Assurance
- Management Information reporting
- Ad hoc reporting
- Exception reporting

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.

The Record is scanned to ensure that it is demonstrably trustworthy in line with BS10008: Evidential weight and legal admissibility of electronic information

Purpose and benefit of this service to you

Benefit is for the supplier to store records and scan any record stored when you require (whether individually or part of a bulk project) on the same site and therefore not incurring any transport charges and store within the Records Information Management system or within your or Departmental Repository System.

- May want a purge on records which need to retain for legislative purposes but want to scan the record and destroy the original

How you can best use it

In conjunction with Service Lines 1 and/or 2 to ensure true economies of scale.