



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

## **Lot 6: Sensitivity Review Service (Fully Managed and Triage)**

### **Guidance Document: Why Lot 6?**

#### **Issue 1.3**

**Framework Expires: 24 October 2020**

**OJEU Contract Notice: 2016/S 151-274459**

### What is Sensitivity Review?

Sensitivity Review is a knowledge based process conducted to review content of certain records in order to identify whether it contains information of a potentially sensitive nature. Knowledge of the applicable law and Exemptions will then be applied to the content in order to determine whether that information can and/or should be:

- Released to the public under the Public Records Act
- Retained by the organisation following approval by Advisory Council on National Records and Archives (ACNRA)
- Partially Retained – meaning some content redacted and the remainder released to public, following approval from ACNRA
- Closed – meaning all content is withheld for release to the public for a specific time period following approval from ACNRA

Further information on how Sensitivity Review and its inclusion within the transfer process under 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.

### What is the scope of the Lot 6 service provision?

- On and/or Off Site service provision
- Fully Managed Sensitivity review service - Supplier undertakes all aspects of the service
- Triage Sensitivity Review service – you make key decisions points and instruct Supplier on next steps
- You can select exactly which areas of the service you want the Supplier to do for you, and which you want to retain ownership and decision making responsibility for
- Subject Matter Experts
- Diplomacy experience
- BS7858:2012 or equivalent (*British Standard, Security Screening of Individuals Employed in a Security Environment*)
- Baseline Personnel Security Standard (BPSS) in line with HMG Baseline Personnel Security Standards
- Security clearance levels covered are: Counter-Terrorism Check (CTC), Security Check (SC) and Developed Vetting (DV)
- Transport services
- Consumable items

### How many Suppliers are available?

There are two Suppliers available under this Lot. Each can provide both the Triage and Fully Managed Sensitivity Review services stated under this Lot 6 service provision. *Further details of these services will be explain within Table 1 below.*

In order to obtain your Lot 6 service, you will be required to undertake a further competition exercise, inviting both 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.

### What do the Fully Managed and Triage Sensitivity services cover?

The table below provides an overview of the service provision for both Fully Managed and Triage Sensitivity Review services.

The content for each service clearly states where the Supplier (*unless you state otherwise at further competition*) makes decision under the fully managed service and where it is only required to make recommendations to the organisation.

**Table 1:**

<b>Fully Managed Sensitivity Review Service</b>	<b>Triage Sensitivity Review Service</b>
<ul style="list-style-type: none"> <li>➤ Sensitivity Review procedures               <ul style="list-style-type: none"> <li>• Conducted by Title and/or Page-by-Page review</li> <li>• Methods can also be devised that suit your review requirements</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>➤ Sensitivity Review procedures               <ul style="list-style-type: none"> <li>• Conducted by Title and/or Page-by-Page review</li> <li>• Methods can also be devised that suit your review requirements</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>➤ Determining Sensitive information – consideration to the three main areas               <ul style="list-style-type: none"> <li>• Personal, Security &amp; Intelligence and International Relations</li> <li>• Alternative criteria can be set by you for reviews to be conducted against</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>➤ Determining Sensitive information – consideration to the three main areas               <ul style="list-style-type: none"> <li>• Personal, Security &amp; Intelligence and International Relations</li> <li>• Alternative criteria can be set by you for reviews to be conducted against</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>➤ Overview of the Sensitivity Review processes:               <ul style="list-style-type: none"> <li>• record content in line with guidance and legislation</li> <li>• <b>determine</b> grounds for Retention by organisation and compile Application to Retain</li> <li>• <b>determine</b> whether Subject Matter and/or Diplomatic experts are required</li> <li>• <b>determine</b> whether Absolute and Qualified exemptions support withholding information</li> <li>• <b>determine</b> and revise record status i.e. Closed or Partially Closed</li> <li>• <b>determine</b> the duration period for Exemptions and/or Exceptions</li> <li>• Compilation of Closure on Transfer form</li> <li>• <b>Identify, determine and undertake</b> the Redaction of approved content</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>➤ Overview of the Sensitivity Review processes:               <ul style="list-style-type: none"> <li>• record content in line with guidance and legislation</li> <li>• <b>recommend</b> to organisation the grounds for Retention by organisation and compile Application to Retain</li> <li>• <b>recommend</b> to organisation whether Subject Matter and/or Diplomatic experts are required</li> <li>• <b>recommend</b> to organisation whether record status revision i.e. Closed or Partially Closed</li> <li>• <b>recommend</b> to organisation duration period for Exemptions and/or Exceptions</li> <li>• <b>provide required information</b> for organisation to complete Compilation of Closure on Transfer form</li> <li>• <b>recommend</b> to organisation potential Redaction content</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>➤ Points of law and guidance adhered to:               <ul style="list-style-type: none"> <li>• Data Protection Act</li> <li>• Freedom of Information Act, Sections 21-44</li> <li>• Environmental Information Regulations 2004</li> <li>• The National Archives – Access to public records guidance document</li> <li>• The National Archives – Grounds for Retention Table</li> <li>• The National Archives - Closure periods</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>➤ Points of law and guidance adhered to:               <ul style="list-style-type: none"> <li>• Data Protection Act</li> <li>• Freedom of Information Act, Sections 21-44</li> <li>• Environmental Information Regulations 2004</li> <li>• The National Archives – Access to public records guidance document</li> <li>• The National Archives – Grounds for Retention Table</li> <li>• The National Archives - Closure periods</li> </ul> </li> </ul>

### Is this service compliant with The National Archives guidance, processes and relevant legislation?

Yes, the Lot 6 Sensitivity Review service is supported by The National Archives and is fully compliant with the following guidance, governance procedures, and all current legislation set out below:

- The National Archives' guidance: Access to public records, Closure periods and Redaction toolkit
- Legislation: Information Commissioner's Office Guide to Freedom of Information, Data Protection Act and Environmental Information Regulations 2004

*Further information on how this service was devised and the government organisations involved in assisting CCS develop the Lot 6 specification of requirements is detailed under 'Specialist Records Management services – what are they and why might I use them?' at the end of this document.*

### What is required at the Induction event and what are the benefits of having it?

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 – and should last approximately 0.5 days or can be longer if you feel it appropriate.

The purpose of the Induction Event is for you and your internal Records Management and/or Sensitivity Review 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 Sensitivity Review service to be carried out.

For example:-

- type(s) and nature of Record(s) to be reviewed
  - type(s) of potentially Sensitive information to be considered, trigger word(s), phrase(s) and Subject Matter(s)
  - type(s) of potentially Sensitive information that may require Redacting from the Record(s)
  - type(s) of information that may be considered of historical value and therefore transferred to The National Archives
  - type(s) of information that may result in a Record(s) being considered Closed, Partially, Closed and/ or Retained and how to apply the Record(s) closure date(s)
  - indication of FOI Exemption(s) that may and/or may not apply
  - roles and responsibilities of the Supplier and you as the Contracting Authority when undertaking the Sensitivity Review Service
  - review and explanation of any specific guidance documentation your organisation may have on Sensitivity Review which the Supplier shall abide by
- It is your decision as to whether you hold:
    - a) one event covering all of the Sensitivity Review services requirement you have contracted i.e. Fully Managed, Triage or mix of both (maybe some records require Fully Managed and others the Triage service),
    - b) individual ones in order to concentrate the event of individual services; or
    - c) combine some of the sessions together.

- You must however ensure your Supplier has been provided with all relevant information in order to undertake the Sensitivity Review in line with your specification of requirements at further competition and instructions at Induction Event(s).

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

You may find some of the following suggestions helpful.

- ✓ Know whether you want to contract under the Fully Managed or Triage service or whether or mix of both (i.e. some records reviewed using Fully Managed and others via Triage service).
- ✓ If you want to contract under the Fully Managed service, know whether you want to outsource all of the decision making to the Supplier or keep some elements within your organisation. Make this clear within your further competition specification of requirements as it will affect the amount of work and responsibility on the Supplier and therefore the cost to you.
- ✓ Know how you want your service to be performed by the Supplier, exactly what activities (if any) you will undertake within the service, and at what points this will take place e.g. at key decision points, reviewing of reports to senior sensitivity reviewer or alternative etc.
- ✓ Know how long you want to enter into a contract for – the time period is anything up to three [3] years - and is your decision to make.
- ✓ Where possible, know your current spend per annum on Sensitivity Review (regardless of whether done in-house or outsourced). This will help you baseline your current costs and establish exactly where savings are achieved following your further competition.
- ✓ Know or at least be able to estimate the volume of records you require to be Sensitivity Reviewed, and if possible, over what time period they need to start and be completed - this will help both you and your Supplier in project planning the delivery of your contract and identifying critical milestones and priorities.
- ✓ Know exactly what information, guidance, policy (both TNA's and your own) and/or legislation you require to be applied when reviewing your records.
- ✓ Know how and when you want to conduct your Induction Event.
- ✓ Know whether you require transport services or whether you will use alternative provision.
- ✓ Know whether you require consumable items or whether you will use alternative provision.

### 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 26<sup>th</sup> October 2020.

During this four year period, you are able to undertake a further competition with all of the Lot 6 Suppliers awarding your contract - called a Call Off Agreement - to your winning Supplier **for a maximum of three [3] 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.

### Supplier Contact Details

Customers are strongly advised to engage early with all Suppliers when considering Lot 6.

<b><u>SUPPLIER</u></b>	<b><u>Service information</u></b>	<b><u>Further Competitions to:</u></b>
	<p>Ellis Mugridge Mobile: 07557 545 847 Email: emugridge@ironmountain.co.uk</p> <p>Dee-Ann Guy Mobile: 07824 354 159 Email: dguy@ironmountain.co.uk</p>	<p>Mobile: 07557 545 847 Email: bidmanagement@ironmountain.co.uk</p>
	<p>Chris Jones CCS Framework Account Director - Commercial</p> <p>Victoria Sculfor Framework Account Director – Operational &amp; Resourcing</p>	<p>Office: 020 7378 7068 Mobile: 07811 127 133 Email: <a href="mailto:chris.jones@tfpl.com">chris.jones@tfpl.com</a></p> <p>Office: 020 7378 5476 Mobile: 07757 847 782 Email: <a href="mailto:Victoria.sculfor@tfpl.com">Victoria.sculfor@tfpl.com</a></p>

For further information please contact:

CCS: Customer Helpdesk – 0345 410 2222 / [info@ccs.gsi.gov.uk](mailto:info@ccs.gsi.gov.uk)

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

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

The Fully Managed Sensitivity Review service is one of 6 Specialist Records Management services which have been created 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	Fully Managed Sensitivity Review Service (including Triage)

### 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, appraise, select, sensitivity review, redact and prepare your records in order to transfer to the appropriate place of deposit within your specific legislative deadlines.