

**INVITATION TO PARTICIPATE (ITP) for the provision of**

**Off-site Document Management – Scanning,**

**Storage, Archive, Retrieval & Destruction**

**Services**

**CPU 6299**

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| --- | --- |
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| Process: | Competitive Procedure with Negotiation (CPN) -Stage One |

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**Section 1: Introduction and Procedure**

# 1.1 Introduction

1.1.1 Nottingham City Council requires a sufficiently experienced and qualified provider to undertake an Off-site Document Management Services Contract to include document scanning, storage, archive, and retrieval.

# 1.2 Competitive Procedure with Negotiation (CPN)

1.2.1 Nottingham City Council is conducting this procurement exercise using the

Competitive Procedure with Negotiation in accordance with Regulation 29 of The Public

Contracts Regulations 2015 for the purposes of procuring the Services detailed in the Services Specification and will be advertised in accordance with Regulation 53 Public Contracts Regulations 2015.

1.2.2 The Tenders are being invited publicly via:

i. Find a Tender Service

[Find a Tender (find-tender.service.gov.uk)](https://www.find-tender.service.gov.uk/Search) ii. Contracts Finder <https://www.contractsfinder.service.gov.uk/>

iii. East Midlands Tenders [https://www.eastmidstenders.org](https://www.eastmidstenders.org/)

1.2.3 During this procurement, the evaluation panel may decide that an award can be made without a period of negotiation, in which case the Authority may award directly.

1.2.4 The procedure will comprise four stages:

* Invitation to Participate **(current stage)**
* Initial Invitation to Tender
* Negotiation Phase
* Final Invitation to Tender

# 1.3 Invitation to Participate (Stage One) CURRENT STAGE

1.3.1 The Authority will invite economic operators to participate in the tender process by issuing a call for competition; this will be published via the Find a Tender Service.

1.3.2 Interested parties will have 30 days from the date of publication of the Invitation to Participate to register their interest with the Authority; this shall be done by returning a

duly completed on-line version of the Selection Questionnaire provided by the Authority, and any supporting information specifically requested in that document, via the eTendering portal, [www.eastmidstenders.org.](http://www.eastmidstenders.org/)

1.3.3 The Authority will assess all submissions according to the stated criteria to ensure that candidates have the legal and financial capacities and the technical and professional abilities to perform the contract.

1.3.4 The Authority will invite all candidates who meet the minimum criteria as set out in Section 7 of the Selection Questionnaire to submit an initial tender (Stage two).

# 1.4 Initial Invitation to Tender (Stage two)

1.4.1 Following assessment of candidates' submissions, the Authority will invite the shortlisted candidates (minimum of three) to submit an initial tender based on the Specifications provided.

1.4.2 Candidates will have a minimum of 25 days from the date of invitation to submit their initial tenders.

*1.4.3 The Authority reserves the right to award the contract without further negotiation to the tenderer submitting the highest scoring initial bid if that bid meets the requirements of the Authority in its entirety without the need for any subsequent negotiation.*

# 1.5 Optional Negotiation Phase (Stage three)

1.5.1 Assuming the option described in paragraph 1.4.3 is not taken up, the Authority will invite each tenderer to participate in negotiations with a view to improving their tenders.

1.5.2 Negotiations may concern all characteristics of the proposed contract including, for example, commercial clauses or contract terms and conditions or innovative aspects of the requirements.

1.5.3 The award criteria as set out in Section 7 of the Selection Questionnaire are excluded from all negotiations.

1.5.4 Where negotiations lead to a narrowing of the requirements or technical specifications, or further detail become available, the Authority will reissue an amended invitation to tender and invite participants to submit a new or revised proposal.

1.5.5 The negotiation phase will consist of as many iterations of negotiation and invitation to tender as are required to achieve the most satisfactory outcome.

1.5.6 During the negotiation phase, the Authority will ensure equal treatment of all tenderers by:

* not providing information in a discriminatory manner which may give some tenderers an advantage over others;
* Informing all tenderers still participating in the procedure, in writing, of any changes to the technical specifications or other procurement documents;
* Allowing sufficient time for tenderers to modify and re-submit amended tenders, as appropriate.
* Not revealing to any other participants any confidential information communicated by a tenderer participating in the negotiations without its agreement.

# 1.6 Optional Final Tender phase (Stage four)

1.6.1 Following completion of the negotiation phase, the Authority will issue a final invitation to tender to all remaining participants. This will include the final version of the specifications and other procurement documents on which the final tender will be based;

1.6.2 The deadline by which tenderers must submit their final tenders, will be notified to tenderers at the point the final invitation to tender documentation is issued. This time scale will reflect the estimated input required by tenderers to complete this phase.

1.6.3 The Authority will verify that all final tenders submitted conform to the minimum requirements and will then assess them based on the stated evaluation criteria.

**Section 2: Selection Questionnaire**

# 2.1 Guidance for Completing and Submitting a Selection Questionnaire

2.1.1 Stage One - Selection Questionnaire (SQ) – **CURRENT STAGE**

2.1.2 Tenderers are required to complete the selection questionnaire (SQ) as part of their tender response. These questions can be found in the format of an online form on the East Midlands Tenders Procurement portal. They cover your organisation's basic details and some questions will be used to assess your organisation's suitability to become a supplier to the Authority.

2.1.3 The Public Contracts Regulations 2015 introduced a number of amended selection criteria. It is intended that all authorities use this questionnaire, this is designed to help suppliers as it will be consistent across the public sector. Further information and guidance about the SQ can be found on the www.gov.uk website.

2.1.4 The SQ is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

2.1.5 A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds.

The declaration is part of the online SQ whereby a typed signature is acceptable.

2.1.6 Consequently, we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example, these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria.

2.1.7 This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration). Where your proposal includes the use of subcontractors, question 1.2 requests that you complete and submit the sub-contractor table which can be downloaded from the online form on the East Midlands Tenders website. You should answer questions in Part 3 on behalf of all organisations involved.

2.1.8 The table below details what questions will be assessed as pass / fail and which are for information only.

|  |  |  |
| --- | --- | --- |
| **Section** | **Section Title** | **Requirements** |
| **Part 1: Questions (General Information)** | |  |
| Section 1 | Your Information | For Information |
| Section 1 (continued) | Bidding Model | For Information |
| **Part 2: Exclusion Grounds** | |  |
| Section 2 | Grounds for Mandatory Exclusion | Pass / Fail |
| Section 3 | Mandatory and discretionary grounds relating to the payment of taxes and social security contributions | Pass / Fail |
| Section 4 | Grounds for Discretionary Exclusion | Pass / Fail |
| **Part 3: Selection Questions** | |  |
| Section 5 | Economic and Financial Standing | Pass / Fail |
| Section 6 | Technical and Professional Ability | Pass / Fail |
| Section 7 | Additional Questions including Project  Specific Questions  Data Protection (UK GDPR)  Minimum requirements:   1. To have a facility to securely store 23,000 boxes of information. 2. To have the ability to provide a box picking, collection and delivery service to a range of locations in and around Nottingham. 3. To have provision of an electronic box inventory tracking system that can be used by NCC staff. 4. To be able to provide a scan on demand service. 5. Able to provide a system that allows for the secure capture, transfer and storage of digitalised | Pass / Fail |
|  | documents   1. Have the facilities to provide archival quality storage for specialist documents 2. Able to provide a confidential destruction service for records   (physical and electronic)   1. Hold ISO 9001 Quality Management (or equivalent) 2. Hold ISO 27001 Information Security (or equivalent) |  |
| **Contact Details and Declaration** | |  |
|  | Contact Details and Declaration | For Information |

**Section 3: Bidders Information**

# 3.1 Procurement Timetable

3.1.1 The Project Team has developed a procurement timetable, summarised in the table below. It should be noted that all dates in the timetable are indicative and it is anticipated that the outcome of the ITT stage will shape the timetable for the remainder of the procurement process.

3.1.2 As such the Authority reserves the right to vary this timetable and will notify interested parties if it does so.

|  |  |
| --- | --- |
| Item | Date |
| Publish FTS Notice and Details of Opportunity | 25 March 2024 |
| Closing date for return of expressions of interest and competed Selection Questionnaire (30 days) | 22 April 2024 |
| Dispatch Invitation to Tender | w/e 26 April 2024 |
| Closing date for Invitation to Tender | 13 May 2024 |
| Negotiation meetings | w/c 3 June 2024 |
| Dispatch of Invitation to Submit Final Tenders | w/c 17 June 2024 |
| Return of Final Tenders | tbc |
| Contract start date | 1 August 2024 |

**Section 4: Evaluation**

# 4.1 Evaluation of Selection Questionnaire

4.1.1 Responses to stage one (i.e. the completion of the selection questionnaire and confirmation of meeting our minimum requirements) will be checked for compliance, and further clarification sought for any outstanding queries. Tenderers not meeting the basic minimum standard may be excluded from further consideration at the Authority's discretion.

4.1.2 The Authority will invite all candidates who meet the basic minimum standard and minimum criteria through to the Initial Tender Stage (stage two).

# 4.2 Minimum Criteria

4.2.1 Minimum requirements are set out in the Minimum Requirements section of the Selection Questionnaire at section 7.

4.2.2 Bidders must agree to meet the minimum criteria by selecting ‘yes’ in the Selection Questionnaire. Any bidders (or consortium of bidders if submitting a joint bid) who cannot meet the minimum requirements will be excluded.

# 4.3 Award Criteria

4.3.1 The Authority is required to set out the Contract Award Criteria at this Invitation to Participate stage of the process.

4.3.2 The Award Criteria is set out as follows:

1. Quality 60%
2. Price 40%

4.3.3 Quality Evaluation Criteria

|  |  |
| --- | --- |
| **Criteria** | **Total marks available** |
| Box Storage and Management | 220 |
| Digitisation & Scan on Demand | 70 |
| Box Contents Destruction | 40 |
| GDPR | 15 |
| Social & Added Value | 35 |

**Section 5: Conditions of Tender**

# 5.1 Rejection of Tender

5.1.1 The Authority may reject any tender in any of the following circumstances where the Tenderer:

5.1.1.1 Enters into any agreement with any other person that such other person shall refrain from submitting a Tender or shall limit or restrict the prices to be shown by any other Tenderer in its Tender; or

5.1.1.2 Offers or agrees to pay or does pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person for doing or having or causing or having caused to be done in relation to any other Tenderer or any other person’s proposed Tender any act or omission; or

5.1.1.3 In connection with the award of the Contract commits an offence under

the Bribery Act 2010 or gives any fee or reward the receipt of which is an offence under Sub-Section (2) of Section 117 of the Local Government Act 1972;

5.1.1.4 Has directly or indirectly canvassed any member or official of the Authority concerning the acceptance of any Tender or who has directly or indirectly obtained or attempted to obtain information from any such member or official concerning any other Tenderer or Tender submitted by any other Tenderer.

# 5.2 Tenderer’s Warranties

5.2.1 In submitting a Tender the Tenderer warrants and represents that:

5.2.1.1 It has not carried out any of the acts or matters referred to in the clauses titled *Non-Consideration of Tender* or *Rejection of Tender*, and has complied in all respects with these Conditions of Tender;

5.2.1.2 All information, representations and other matters of fact communicated (whether in writing or otherwise) to the Authority by the

Tenderer or its employees in connection with or arising out of the Tender are true, complete and accurate in all respects;

5.2.1.3 It has made its own investigations and research, and has satisfied itself in respect of all matters relating to the Tender, the Specification and the Terms & Conditions and that it has not submitted the Tender and will not have entered into the Contract in reliance upon any information, representations or assumptions (whether made orally, in writing or otherwise) which may have been made by the Authority;

5.2.1.4 It has full power and Authority to enter into the Contract and will if requested produce evidence of such to the Authority;

5.2.1.5 It is of sound financial standing and the Tenderer and its partners, officers, and employees are not aware of any circumstances (other than such circumstances as may be disclosed in the accounts or other financial statements of the Tenderer) which may adversely affect such financial standing in the future.

5.2.2 The Authority requires the following minimum insurances; the winning Tenderer will be required to demonstrate that they hold the appropriate levels of indemnity before being awarded the contract:

5.2.2.1 Employer's Liability: £5,000,000

5.2.2.2 Stock Insurance: £ (please provide details of cover to be discussed)

5.2.2.3 Goods in transit: £ (please provide details of cover to be discussed)

5.2.2.4 Consequential loss: £ (please provide details of cover to be discussed)

5.2.2.5 Professional Negligence: £1,000,000

5.2.2.6 Cyber Insurance: £1,000,000

5.2.2.7 Motor insurance: Fully comprehensive

# 5.3 Data Protection

5.3.1 The Provider shall comply with all obligations and requirements under UK GDPR and the Data Protection Act 2018 (as amended), or its successors; and any associated legislation.

5.3.2 Notwithstanding the general obligation above where the Provider is tendering to processing Personal Data as a Data Processor for the Authority, the Provider shall ensure that it has in place appropriate technical and contractual measures to ensure the security of the Personal Data (and to guard against unauthorised or unlawful Processing of the Personal Data and against accidental loss or destruction of, or damage to, the Personal Data), as required under the Seventh Data Protection Principle in Schedule 1 to the Act; and if awarded the contract will provide the Authority with such information as the Authority may reasonably require to satisfy itself that the Provider is complying with its obligations under the Data Protection Legislation.

# 5.4 Confidentiality

5.4.1 The Invitation to Tender, Terms & conditions, Specification, and all other documents or information issued by the Authority in relation to the Tender shall be treated by the Tenderer as private and confidential for use only in connection with the Tender and any resulting contract, and shall not be disclosed in whole or in part to any third party without the prior written consent of the Authority.

5.4.2 The documents which constitute the Contract and all copies thereof are and shall remain the property of the Authority (whether or not the Authority shall have charged a fee for the supply of such documents) and must not be copied or reproduced in whole or in part and must be returned to the Authority upon demand.

5.4.3 All information provided by Tenderers as part of a tender return will be treated as confidential in accordance with article 21 of the Public Contracts Regulations 2015, notwithstanding any obligation on the Authority arising under the provisions of the Public Contracts Regulations, Freedom of Information or related legislation, or any other requirement for the disclosure of information applicable under the law of England and Wales.

# 5.5 Freedom of Information

5.5.1 The Authority is subject to the requirements of the Freedom of Information Act 2000 (FoIA) and the Environmental Information Regulations 2004 (EIR); and may be obliged to disclose information (including information provided by Tenderers) in accordance with the requirements of this legislation.

5.5.2 Tenderers shall state if any information supplied by them is confidential or commercially sensitive or should not be disclosed in response to a request for information under the Act, and should state why they consider the information to be confidential or commercially sensitive.

5.5.3 The Authority shall be responsible for determining at its absolute discretion whether information held by it relating to the tender shall be disclosed in response to a request for information under FoIA or EIR.

5.5.4 This will not guarantee that the information will not be disclosed, but will be examined in the list of the exemptions provided in the Act.

# 5.6 Intellectual Property

5.6.1 Unless otherwise specified or agreed, it is the intention of the Authority that all intellectual property rights in all works or supplies provided in relation to this tender which are written or produced on a bespoke or customised basis, including, without limitation, all future such rights when the said works are created, shall be owned by the Authority, and the contractor shall ensure that it executes all documents necessary to effect such ownership.

5.6.2 Where the Tenderer provides existing intellectual property right protected material to the Authority in relation to this tender, it shall disclose this to Authority; warrants it has the right to do so; and shall fully indemnify and hold the Authority harmless against all loss or liability arising from any third party intellectual property rights claims arising both from such existing material and in relation to any such bespoke work.

5.6.3 Except as provided above, both parties retain ownership of their pre-existing intellectual property rights protected material.

# 5.7 Sub-contracting

5.7.1 The Authority requires all Tenderers to identify whether (and which) sub-contracting or consortium arrangements apply in respect of this tender. In particular, Tenderers must specify the elements / share (if any) of the contract it intends to sub-contract, any proposed sub-contractors and precisely which entity they propose to be the service provider. This information shall be stated within the Selection Questionnaire.

# 5.8 Consortium Bids

5.8.1 Organisations which might not have the necessary capability or size to tender for the requirement individually are invited to form consortia with other organisations to be able to put in joint bids.

5.8.2 Consortium bids are particularly encouraged from groups of small medium enterprises (SME’s) or voluntary sector organisations, to allow them to compete in markets where they would otherwise be under-represented.

5.8.3 Consortia may take one of two forms, depending on the agreement between the constituent organisations:

5.8.3.1 Where Tenderers are proposing to create a discrete corporate entity, they shall provide a separate attachment giving details of the entity itself, and the actual or proposed percentage shareholding of the constituent members within the consortium.

5.8.3.2 If a consortium is not proposing to form a corporate entity, full details of the alternative arrangements proposed shall be provided in a separate attachment. This shall include the management structure, and the identity of the lead organisation responsible for submitting the application on behalf of the consortium.

5.8.4 In either case, each constituent member of the consortium must complete a selection questionnaire with its own details to be submitted as part of a single composite response.

5.8.5 The Authority recognises that arrangements in relation to consortia may (within limits) be subject to future change. Contractors should therefore respond in the light of the arrangements as currently envisaged. Contractors are reminded that any future proposed change in relation to a consortium must be notified to the Authority so that it can make a further assessment by applying the selection criteria to the new information provided.

5.8.6 Where not already the case, the Authority reserves the right to require a successful consortium to form a single legal entity in accordance with regulation 19(6) of the Public Contracts Regulations 2015.

# 5.9 Words and Expressions

5.9.1 Words defined in the Terms & Conditions shall have the same meaning in the Invitation to Tender, Form of Tender, Conditions of Tender, and the Specification.

**Section 6: Specification**

# 6.1 Background and Introduction

6.1.1 Nottingham City Council has had an off-site storage contract in place with Box-it for over 10-years. This contract consists of off-site storage and weekly retrieval and delivery of boxes to a number of locations across the City.

6.1.2 The existing contract is coming to an end and the Authority wants to set up a new contract to include off-site document management – scanning, storage, archive, retrieval and destruction services under a new services contract.

6.1.3 The Authority currently has c.23,000 boxes in storage. Since the Covid pandemic, there has been a reduction in the number of physical documents being archived. The pandemic has also changed the way Council staff work and has accelerated the shift towards hybrid working. The Authority want to ensure that documents are easily retrievable from any place of work. Therefore, through the re-tending process, there will now be a larger focus on the digitisation of records (such as those with longer retention periods and those records colleagues regularly need to access) as well as the need for document storage (physically and electronically) and destruction.

6.1.4 The Authority is required to have its offsite document management, storage and retrieval contract controlled and managed corporately by the Authority.

# 6.2 Current Provision

6.2.1 The majority of the 23,000 boxes are stored in warehouse conditions with the boxes having the dimensions H 270mm x W 345mm x D 425mm.

6.2.2 Of these 23,000 boxes, approximately 2360 boxes are stored in specialist archival conditions with the same box dimensions as above.

6.2.3 Confidential destruction of boxes and their contents take place when they have reached their assigned retention date.

6.2.4 The Authority currently receives twice weekly collections and retrievals of new and existing registered archive boxes to sites across the City, with the majority centred on 3 main sites: Loxley House, Byron House and the Council House. All Council buildings are within a 5-mile radius of Nottingham’s City Centre. On average, 33 boxes are recalled to Nottingham City Council sites per month.

6.2.5 The Authority receives a delivery of flat pack archive boxes and security tags, as well as the collection of new boxes for storage from all Council sites.

# 6.3 Objectives and Purpose of New Contract

6.3.2 Specifically, this contract is to cover the following:

* Archive box supply (for approximately 23000 stored boxes and around 90 new boxes which are sent to storage per year are sent to storage).
* Secure storage of a wide range of document types including, but not restricted to, paper files, data discs, microfiche, plans, books, etc (these are mainly stored in boxes).
* Specialist secure and archival condition storage for highly sensitive/confidential documents (mainly relating to property deeds and births, marriage and death registers).
* Complete archive management service for the wide range of documents listed.
* Small but reliable and effective collection and retrieval service to several Council premises across the City (appendix 1).
* Digitisation of records, mainly through a ‘scan-on-demand’ service, and to securely supply electronic scans on an electronic document management system. Through this, Records Management staff would want to work with the supplier to create a plan of digitisation over a long-term period which will reduce the physical storage of documents drastically.
* A box tracking database for use by Council staff to update, audit and amend information; and
* A confidential destruction service.

6.3.3 Suppliers should note that a business case was approved by the Authority to adopt a corporate approach to offsite document storage, digitisation and retrieval. This corporate approach to document management will assist the Authority to:

* Achieve and deliver the corporate policy for Records Management across the

Authority.

* Reduce and manage costs.
* Reduce environmental impacts such as through the significant reduction of collections and deliveries.
* Drive efficiency across the Authority through colleagues being able to access information quickly and easily no matter the place they are working from; and
* Standardise and consolidate document management across the Authority.

6.3.4 The Authority believes that these objectives can be achieved by:

* Establishing baseline costs and understanding the total cost of the service.
* Allocating a centralised service management responsibility within the Authority’s model for document management.
* Significantly reducing the number of retrieval and collection transactions through the digitisation of records.
* Supporting a significant cultural change through a more flexible and innovative approach to document management, such as through digitisation; and
* Creating a cultural change and realignment of user behaviour and expectations towards documents management.

6.3.5 The Authority is therefore looking for a supplier that understands the Authority’s aims and is focused on helping to deliver those aims and objectives and can evidence this as part of ongoing contract management.

6.3.6 The Authority is looking to reduce, over time, the total number of documents stored offsite, as well as having a more focussed approach towards a ‘scan-on-demand’ service and digitisation of longer retained and most recalled documents.

# 6.4 Storage Requirements

6.4.1 The Authority would require the minimum standards set out below for the storage of the organisation’s documents:

* The document repository must be free-standing or be separate from other activities if in a shared building. The building must be built from robust materials.
* The building must be protected from any risk of fire, flood, pests and unauthorised entry with the use of fire alarms, and entry requirements to storage areas (such as with key cards). Suppliers must supply their latest pest monitoring paperwork.
* The site must be monitored 24 hours a day, 7 days a week. This can be in any form, such as CCTV monitoring or security staff on site. There will also need to be working burglar alarms for the site.
* Boxes must be stored, at a minimum, 6 inches from the floor and on suitable racking.
* Boxes must be stored in an environment which does not have excessively fluctuating temperatures or humidity. Suppliers to supply a month’s worth of readings for temperature and humidity.
* Light levels should be as low as possible. Lights should be turned off when not in use and as much natural light should be reduced where possible.
* Staff for the supplier must be suitably vetted (including DBS checked). Staff should sign confidentiality agreements and be annually trained/refreshed on UK GDPR and the Data Protection Act 2018 (including any later iterations).

6.4.2 It is a further minimum requirement that a secure strong room/safe facility is available. This will need to meet the above minimum requirements, set out in 6.4.1, as well as the additional requirements below:

* At least a 4-hour fire suppression on all doors, walls and ceilings
* Stricter temperatures and humidity readings will be required within this area to be more stable and have less fluctuations. The humidity must be stable between 3065%. Suppliers must indicate their temperature controls and humidity controls, and supply a month’s worth of readings for temperature and humidity for their facility.
* This area should be free from pests and any water ingress. Suppliers must supply their latest pest monitoring paperwork.
* Restricted access to certain members of staff and the use of visitor logs.
* Securely locked with a separate alarm system.

# 6.5 Destruction Requirements

6.5.1 The Authority would expect the following standards to take place when destroying paper records:

* To have the equipment and service to confidentially destroy around 1500 boxes a year.
* Authorisation must be sought from Records Management colleagues working within Nottingham City Council before any destruction of boxes or records takes place.
* Documents or items are to be destroyed in a confidential manner. The area must be strictly controlled and monitored by CCTV. The supplier must comply with the UK GDPR and Data Protection Act 2018 (including any later iterations).
* A destruction certificate for the boxes and/or records destroyed must be issued to Nottingham City Council Records Management colleagues for the Authority’s auditing processes.
* Details of the box to be updated on the box tracking software and within the supplier’s records within 24 hours if destroyed in-house by Nottingham City Council staff.
* Any materials authorised for destruction from Nottingham City Council records should be recycled.

# 6.6 Collection and Delivery of Boxes

6.6.1 For the collection and delivery of records to Nottingham City Council sites, there will need to be a minimum requirement for the vehicle’s used by the supplier:

* All vehicles must be serviced regularly and be fully insured.
* The vehicle must be locked when left unattended or when not in use.
* There must be no unauthorised stops taken during the delivery or collection of boxes/records.
* The vehicle must be fitted with a working GPS tracker which can be tracked live if required.
* Vehicles must have appropriate security features (such as anti-theft devices)
* Vehicles must be equipped with a fire extinguisher.
* The vehicles used for delivery and collections should, where possible, be electric.

6.6.2 Collection and delivery of physical boxes and records to Nottingham City Council sites must:

* Only take place when requested and after authorisation is sought from Records Management staff. In 2023, there was around 400 boxes which were physically collected and delivered to Nottingham City Council sites, and 100 new boxes entered storage. We envision that this will be significantly less for this contract due to the utilisation of a scan-on-demand service.
* There is no requirement for urgent, emergency or out of hours physical delivery or collection. These would be replaced by the ‘scan-on-demand’ service.
* Be able to manage the collection and delivery of boxes to a variety of Nottingham City Council locations (see appendix 1).

6.6.3 Suppliers must be able to supply flat pack boxes for any new documentation being entered into storage. Suppliers must also have a provision to secure confidential and sensitive information whilst it is stored (at the present time, this is through the use of security tags).

## 6.7 Technical System (EDMS) Requirements

6.7.1 Nottingham City Council want to move towards the use of digital documents across the organisation. The minimum requirements for the scan-on-demand service or for bulk scanning projects are:

* To have all documents scanned to 300dpi as a minimum requirement.
* Scans to match the physical document (i.e. scanned in black and white or in colour).
* To have the equipment, resource and expertise to scan historical loose and bound paper documents.
* To have the equipment in order to scan non-standardised sizes of documents (such as maps and plans).
* To be able to prepare the paperwork for scanning (for example, removal of staples/paperclips, removal of plastic wallets). Any waste from this should be recycled.
* To have in place the resource to remove items such as marketing material, old magazines etc – please can you provide a list of exclusions
* To create a basic catalogue record of each file in storage to update the box tracking system and provide an inventory record for Nottingham City Council.
* Scans to be provided in a format that can be easily accessed and used by Nottingham City Council staff, for example in PDF (for written documentation) or in TIF (for high resolution images).
* Scans to be securely transferred to Nottingham City Council staff through the document management system.
* Users to sign on with credentials for the system such as username and password, so that the correct level of access can be given to the user in order to ensure that data remains both secure and available to authorised staff. This should integrate with the Council’s access security systems so that colleagues have a Single Sign On.
* The document management system should be updated and refreshed at least once per day when no document is uploaded, or within an hour of a document being uploaded by the supplier.
* To be accessed by a minimum of 25 users across Nottingham City Council, with four of these being admin accounts for Records Management staff.
* The ability to download documents from the document management system to be easily saved in other Nottingham City Council systems, such as the social care system or onto SharePoint (where necessary). There should be the option to delete the document from the document management system (once it is downloaded) by the Records Management administration user.
* To be able to lock down access so that there is no unauthorised access to documents by Nottingham City Council staff where there is no business need for access (i.e. social care information restricted so non-social care staff can’t access).
* The ability, in the future, to add additional documents from Nottingham City Council’s current document repositories to include types of documents (including but not limited to) PDFs; Microsoft Word, PowerPoint, Excel documents; images such as JPEGs and TIFs; maps etc.
* It is envisioned that the document management solution could be able to be searched for key words in e-document records and have the option to find all matches then form results lists from these for the user.
* Automation or reminders to staff that documents are coming up to the end of their retention period so that they can be deleted manually by staff or automatically by the system. The solution must contain automatic elements of data retention functionality and must be able to manage purging, disposal or deletion of data and associated meta data, including individual records, parts of records (anonymising records) or groups of records, and have a means of providing assurance around this process.
* Document any changes made to records within the system, who by and when these were undertaken to provide an audit trail to Records Management administration staff.
* Able to support users with disabilities (e.g. configurable colour schemes, configurable type face and size, etc.) and meet international WCAG 2.1 AA accessibility standards.
* The system must have the ability to restore records deleted in the last 30 days.
* To include an autosave and offline caching functionality: For example where it constantly saves or saves after an acceptable time period of when there is a disruption in the network/connectivity, that data can be saved locally and uploaded to the server once connection is re-established.
* The system should not be no more than two versions behind the current version release.

## 6.8 Box-tracking System

6.8.1 Nottingham City Council are looking to procure a new box tracking system from the supplier as the current provision is currently not fit for purpose. The minimum requirements for this would be:

* To transfer all of the details held (in full) from Nottingham City Council’s box tracking systems which is an internal programme built by the IT department. The provision must be flexible to allow for the mapping and transfer of non-standard fields within Nottingham City Council’s current system.
* The box tracking system must be able to provide details of the boxes that are being stored (including, but not limited to, box reference and number, content description, retention date, expiry date, box owner, current and location history, box status (In, Out, Perm Out or Deleted), structure details for the area/team responsible for box).
* Administration accounts for Records Management staff to be able to authorise scanning and delivery requests.
* The solution must contain automatic elements of data retention functionality and must be able to manage purging, disposal or deletion of data and associated meta data, including individual records, parts of records (anonymising records) or groups of records, and have a means of providing assurance around this process.
* Suppliers to create the inventory for all Nottingham City Council box contents.
* To be accessed by approximately 100 members of staff across Nottingham City Council, with four admin accounts being provided to Records Management staff.
* Administration accounts for Records Management staff to be able to authorise new boxes entering storage, requests for collection/delivery of physical boxes and request for destruction.
* The system will be used to live track boxes and so should be updated immediately when there is a change to the status of a box (i.e. change of storage location, out of delivery, being scanned, updated inventory information, destroyed).
* Be able to manage requests for the collection and delivery of physical boxes to Nottingham City Council sites or for documents to be scanned via the scan-ondemand service or through bulk scanning projects.
* To be able to lock down access so that there is no unauthorised access by Nottingham City Council staff to boxes they do not need to retrieve or view.
* The system must provide reports on security and access including: listing all current users and their security level(s); access to an activity log for the application; automatic ‘time-out’ if a session is idle; a record of deleted items including who deleted a record and when.
* Document any changes made to records within the system, who by and when these were undertaken.
* Able to support users with disabilities (e.g. configurable colour schemes, configurable type face and size, etc.) and meet international WCAG 2.1 AA accessibility standards.
* The system must have the ability to restore records deleted in the last 30 days.
* To include an autosave and offline caching functionality: For example where is constantly saves or saves after an acceptable time period of when there is a disruption in the network/connectivity, that data can be saved locally and uploaded to the server once connection is re-established.
* The system must not be no more than two versions behind the current release.

## 6.9 Existing Corporate Document Management System(s)

6.9.1 The Authority currently operates OpenText’s R/KYV product for some electronic document management, locally known as ‘Castle’. The product is operated on premise with documents being held in an Oracle database and presented to users through Microsoft servers. The system has been operated by the Council since 2006 and the current support agreement ends in December 2026. Prospective suppliers must confirm whether they consider it would be feasible to migrate these documents to their proposed EDMS.

## 6.10 Reporting

6.10.1 EDMS/Box-tracking - the system must provide the ability to create both statistical and listing reports and to store standard formats for re-use. This must be an in-built capability (or a suitably linked and fully supported, by the core product supplier, third party product), directly from the core live data. It must be fully flexible to support users to run inter-relational queries across all data and all formats of data on the system. It should be able to generate automatic reports according to defined triggers / rules e.g. weekly or monthly by a defined function / module or user group and deliver these to users or other systems. Allow these to be exported in common file formats for use internally and externally. For read-only review (PDF), presentations (images) or further analysis (CSV / Excel). These should be restricted based on the user's security settings and only be available to administration staff.

6.10.2 Box-tracking - The ability for Records Management staff to run reports from the box tracking system to monitor deliveries and collections, the use of the scan on demand service, box destructions and the number of new boxes created. If this cannot be done, the reports must be provided by the supplier monthly or when requested with the details required.

## 6.11 Training and Support

6.11.1 Provision of comprehensive user training and ongoing technical support services to ensure that Nottingham City Council staff are adequately trained and supported in using the document management system effectively and efficiently.

## 6.12 Minimum Service Levels

6.12.1 The Authority shows, below, the minimum requirements they require for the delivery of digital documents, and the physical delivery of boxes and these comprise four levels of service. Physical deliveries will be to multiple Council premises and should be detailed in the Price Schedule; digital deliveries will be preferrable over physical deliveries. Appendix 1 sets out the addresses that boxes are delivered to currently and these are all within the City boundary.

6.12.2 Digital delivery:

* Standard – scanned document to be provided within 48 hours for any ’scan-ondemand’ request (the Authority would like documents to be available within 24 hours if possible). For any other bulk scanning projects, 7-14 days would be sufficient.
* Urgent – order by 10:00 for same day delivery by 15:00.
* Emergency – order for same day delivery within 2 hours.
* Out of hour’s emergency delivery - weekends or after 5:00pm weekdays.

6.12.3 Physical delivery:

* Standard – order by 13:00 for next day delivery
* Not urgent, emergency or out of hours physical deliveries to take place.

6.12.4 For the current service, collection and delivery to and from multiple Council premises takes place twice weekly. As the Authority moves to a ‘scan-on-demand’ service, it is envisioned that physical box deliveries will be minimal. However, the below

information will help suppliers to understand the possible nature of the amount of digitising that will need to take place.

* The average monthly collection from City Council premises has equalled 126 boxes
* The average monthly delivery to City Council premises has equalled 134 boxes

6.12.5 This information is based on April 2022 – March 2023 and the majority of collections and deliveries are from 3 main sites: Loxley House, Byron House and the Council House.

### 6.13 Hosting

6.13.1 The tenderer will be required to host the website and any related services.

6.13.2 Hosting costs provided should include all hardware (or virtualised hardware), software license, data storage, bandwidth, and other required services used in the provision of the project deliverables.

6.13.3 Hosting should be pro-actively monitored 24/7 and meet a 99.8% uptime requirement. This should be reported monthly and any unplanned service interruptions should have a root cause analysis attached to the monthly report.

### 6.14 Performance

|  |  |
| --- | --- |
| **Performance Indicator** | **Measure** |
| Website access availability | 24/7/365 |
| Website uptime availability | 99.9% measured quarterly |
| Telephone support | 9:00 A.M. to 5:30 P.M. Monday – Friday |
| Email support | Monitored 9:00 A.M. to 5:30 P.M. Monday – Friday |
| Service requests or problems with the system will be responded to via the following parameters (assume all mention of hours means business hours): | |
| High priority | Respond within 4hrs |
| Medium priority | Respond within 24hrs |
| Low priority | Respond within 48hrs |

6.14.1 Definitions:

**High**

* Critical security upgrades / patches / bug fixes
* Downtime investigation and resolution
* A major function of the hosting service/website is not operational for multiple users

**Medium**

* A minor function of the hosting service / website is not operational for one or more users (who can continue to use other hosting features)
* A user has questions about the hosting service/website functionality or needs assistance in using the service.
* A user needs administrative service.
* Content addition/modification/deletion **Low**
* Non-critical upgrades e.g. Non critical CMS upgrade
* Preparation for facilitating client penetration and other testing.
* Enhancement requests
* Implementing solutions to technology advances in browsers that may cause disruption to site functionality
* The priority of any service related incident or request not defined in the above table shall be subject to the agreement of the Service Provider and Client.

6.14.2 Once an incident/request has been acknowledged there should either be a plan for resolution (including timeframes) delivered to the customer within:

High Priority – 4 hrs

Medium Priority – 3 working days

Low Priority – 5 working Days

Or a resolution to the incident/request delivered within these time frames.

High Priority – 16 hrs (2 working days)

Medium Priority – 4 working days

Low Priority – 10 working Days

## 6.15 Mobilisation and Milestone Payments

6.15.1 Suppliers should note that the current storage supplier can only make available 800 boxes, via one articulated lorry to transfer to the new supplier per week. Based on current box numbers, the period of transferring the boxes will take approximately 29 weeks. This should be factored into your mobilisation/implementation plan.

6.15.2 As part of your tender submission, please provide a detailed mobilisation and delivery plan.

6.15.3 The Authority will be required to pay for storage with the existing supplier whilst it withdraws from the contract and boxes are transferred. In addition, it is expected that software/licence payments won’t be paid until UAT is complete and the systems are ready to go-live. Please set out in the Pricing Schedule how payment will be staggered within the first 12-months of the contract.

**Section 7: Terms and Conditions**

# 7.1 Terms and Conditions

7.1.1 The draft contract the Authority proposes to use is available through the etendering portal, [www.eastmidstenders.org.](http://www.eastmidstenders.org/)

7.1.2 Bidder submitted Terms and Conditions should also include and allow for the inclusion of the Authority Tender bid requirements which will, for the avoidance of doubt, take precedence over the Bidder’s Terms and Conditions in case of any conflict. Bidder submitted Terms and Conditions should include, amongst other things, appropriate clauses relating to Insurance and Indemnity, Data Protection & Confidentiality, Destruction of Boxes, Termination, Payment of Fees in relation to all Services including any IT solutions required by the Authority.

7.1.3 For contracts that do not require a seal, the final contract will be populated by the Authority upon successful award of this opportunity. Unless a hard copy is specifically required by the contractor an electronic version in PDF format will be sent to the winning bidder(s) via the procurement portal. The contractor will be required to print the contract and sign the relevant section of the signature page. The contract must be signed by hand. Typed or electronic signatures will not be accepted. The signature page must be scanned and together with a copy of the contract returned the Authority electronically via the procurement portal. A version of the contract that is signed by all relevant parties and dated by the Authority will be returned to the Contractor electronically. Please do not date the contract.

**Section 8: IT Configuration**

# 8.1 Introduction

8.1.1 Purpose

During the procurement of ICT systems, it is essential to ensure that properly defined functional and non-functional requirements are included in the Invitation to Tender (ITT).

This document is designed to help with that process by stipulating the Nottingham City Council (NCC) architectural configuration that forms a bare-minimum set of infrastructure related needs, which all IT solutions must adhere to.

The purpose here is to ensure that any design or procurement process is consistent with existing NCC architecture and system/service approaches and solutions. This document is not a substitute for the need for business Subject Matter Experts to define their objectives and requirements for a business problem/IT-related need. It should be used to aid the overall architectural discipline required when aspiring to a cohesive approach to IT solutions, as such the content should be used during the process to procure new or replacement ICT systems/services. In this respect it will form a section within any formal procurement exercise.

# 8.2 ICT Configuration List

8.1.2 System Hosting - It is the Council’s strategy to substantially reduce the cost and complexity of its information systems, and thus the re-use of existing architectural components is encouraged; standardisation of approach is an imperative; consolidation an important aspiration. Where suitable, the procurement of commoditised services using a cloud-provisioning model will be considered on a case-by-case basis, where appropriate a fully managed service may also be considered.

8.1.3 System Components - A distinction has been made between technology expected to support our core strategic systems (standard) and those for less critical non-core systems and there is a need to reduce the support burden of non-core systems over time. This may lead to new approaches for non-core services or applications (exceptions), similarly alternatives to core systems technology will be evaluated on a case-by-case basis. Where a new application system or other product has a dependence upon the installation of additional or new software products, e.g. Java implementation on servers, then this cost is additional to the project (cost and implementation resources) and not a provision of the Council’s standard infrastructure.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **ID** | **Component** |  | **Standard** | **Exceptions** | |  | **Future Direction** |
| **User Interface** | |  | |  | |  | |
| 2.2.1 | Authentication | Active Directory  2019 (On Prem)  Active Directory Federation  Service v3.0 with  Azure Multi-  Factor  Authentication | |  | Active Directory | Active Directory  Federation Service  (latest version) with  Azure Multi-Factor  Authentication Server | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | Server |  |  |
| 2.2.2 | Browser (NCC usage  only) | Microsoft Edge  Please refer to section 2.2.12 of  the document Web Based  Systems which includes  conformance with HTML 5.0 and TLS 1.2. | Google  Chrome  Mozilla Firefox | Microsoft Edge |
| Browser  (Public facing) | Must work with variety of major browsers  including Internet Explorer, Edge,  Google Chrome,  Mozilla Firefox and Safari.  Please refer to section 2.2.12 of  the document Web Based  Systems which includes  conformance with HTML 5.0 and TLS 1.2. |  | Must work with variety of major browsers including Internet Explorer, Edge,  Google Chrome, Mozilla Firefox. |
| 2.2.3 | Desktop OS | Windows 10  64Bit Current Branch for  Business |  | Windows 11 64Bit Semi-Annual Channel |
| 2.2.4 | Desktop plugin software | Microsoft .net framework (latest version)  Adobe Reader (latest version) |  | Commitment to remain on supported versions |
| 2.2.5 | Productivity | Microsoft 365  Apps for  Enterprise 32bit Semi-Annual | Microsoft 365  Apps for  Enterprise  64bit and | Microsoft 365 Apps for Enterprise 64bit  Semi-Annual Channel and Office LTSC |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | Channel | | | Microsoft  Office 2019  32bit/64bit | Professional Plus  2021 64Bit  Semi-Annual Channel | | |
| 2.2.6 | Smartphones | Android 10+ | | | iOS 15+ | Android 11+ | | |
| 2.2.7 | Device encryption | Bitlocker | | | Bitlocker | Bitlocker | | |
|  | | | | | |  | | |
| 2.2.8 | Desktop application  virtualisation and  deployment | Microsoft RDS  2019 with App-V for application  virtualisation and deployment. | | |  | Microsoft RDS 2019 with App-V for application  virtualisation and deployment | | |
| 2.2.9 | Desktop management | Microsoft SCCM  Semi-Annual Channel | | |  | Microsoft Intune | | |
| **Application Server Layer** | | | | | |  | | |
| 2.2.10 | Web Server | | IIS 8.0 (basic install only)  Apache (vendor maintain/support only) | | IIS (basic install only)  Apache (vendor maintain/suppor  only) | t | | IIS 10 (basic install only)  Apache (vendor maintain/support only) |
| 2.2.11 | Operating System | | Windows 2019 | | Windows 2012 R2 |  | | Windows 2022 |
| 2.2.12 | Web Based  Systems | | Be secure  (HTTPS and not HTTP) | |  |  | | Be secure (HTTPS and not HTTP) |
| Must conform to WCAG 2.0 | |  |  | | Must conform to WCAG 2.0 |
| Must be compatible to run behind a  Web Application  Firewall (WAF) | |  |  | | Must be compatible to run behind a Web  Application Firewall (WAF) |
| Should not require client  software such as Java | |  |  | | Should not require client software such as Java |
| Should contain  Secure Restful API | |  |  | | Should contain Secure Restful API |
|  |  | | Conform to  HTML 5.0 and TLS 1.2 | |  | |  | Conform to HTML  5.0 and TLS 1.2 |
| **Database Server** | | |  | | | |  | |
| 2.2.13 | Database | | SQL 2016 upwards  preferably  2017 | SQL 2017 upwards preferably 2017 | | | Latest release | |
| 2.2.14 | Operating Systems | | Windows 2016  AIX 7.x | Windows 2012 R2 | | | Windows 2019  AIX 7.x | |
| **Storage** | | |  | | | |  | |
| 2.2.15 | Storage | | IBM v7000 SAN  Brocade FC connectivity |  | | | IBM v7000 SAN  Brocade FC connectivity | |
| **Service Continuity** | | |  | | | |  | |
| 2.2.16 | Operational  Resilience | | Replicated storage over two sites for core business systems.  Network, ISP and Telephony are resilient across and Active/Active Dual DC | | | | Cloud based solutions may be increasingly considered | |

# 8.3 2.3 Environment Components

|  |  |  |  |
| --- | --- | --- | --- |
| **ID** | **Component** | **Current Technology** | **Future** |
| 2.3.1 | Remote Access | Cisco AnyConnect VPN  F5 Portal/clientless  VPN  Microsoft RDS | Cisco AnyConnect VPN  F5 Portal/clientless VPN  Microsoft RDS |
| 2.3.2 | Email | Exchange Online (O365) | Exchange online (O365) |
| 2.3.3 | Backups | Veritas Netbackup  8.0 | Veritas Netbackup 8.0 |
| Oracle RMAN  12.01.00.02 | Oracle RMAN |
| SQL Backup | SQL Server / Netbackup 8.1 |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | (Various) |  |
| Solarwinds Config Manager | Solarwinds Config Manager |
| Cisco Prime | Cisco Prime |
|  |  |
| 2.3.4 | Virtualisation | Microsoft Hyper-V  2019  VMWare vSphere  7.0 | Microsoft Hyper-V 2022 Azure PaaS Virtual Servers |
| 2.3.5 | Security  Access Rights | The primary authentication  mechanism is via  Microsoft Active directory  (2019)    Some third party applications need their own separated  authentication and/or a hybrid of AD and non-AD.    In these circumstances we seek to utilise a single sign-on  approach with AD  Federated Services  (ADFS) for the AD users or look to  integrate the solution with our Application  Delivery Controllers which is using F5’s Local Traffic  Management and  Access Policy  Management  (LTM/APM) features. | AD 2019 Federated Services.    Continue utilising F5 where suitable |
| 2.3.6 | Network | Nexus 7010 with Sup 1, 5020, 2248 fex | Nexus 9000 Application Centric  Infrastructure (ACI) with 40Gb capability. |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | 10Gb backbone |  |
| ASA 5500 series,  Cisco Firepower, Juniper SRX | Cisco Firepower |
| WLC 5508s and 5520s | Catalyst 9800 Wireless Controllers |
| Catalyst 6500s,  3650s, 3750s,  3850s, 2960s | Catalyst 9200 & 9300 |
| ISR 2911s | Core ISR 4461s, sites ISR 1100s |
| Cisco Prime 3.0 | Cisco Prime 3.0 or latest version |
| Various UPSs at strategic sites only | Various UPSs at strategic sites only |
| Solarwinds Network NPM, NCM, NTA | Solarwinds Network Monitoring NPM, NCM, NTA |
| F5 Load Balancers | F5 Load balancers |
| 2 x 10Gb DC-DC connectivity.  10/100/1,000 WAN point-to-point links for large sites.  Hub and spoke topology with 5  cascade nodes.  FTTC/ADSL for small  sites. | 2 x 10Gb HCS DC-DC connectivity.  MPLS WAN  50Mb – 1Gb site connections |
| 10/100/1000 Desktop speeds | 100/1000 Desktop speeds |
| 2.3.7 | Internet Service Provision | 2 x 1Gb MIA links terminating on  Junipers on the outside. The DMZ  has Cisco ASAs on the inside. | 2x 2Gb Gigabit links Dual DC  DMZ with resilient Firepowers and routing. |
| 2.3.8 | Reporting | Solarwinds, Prime  3.0 | Solarwinds, Prime 3.0 |
| 2.3.9 | Telephony | CUCM 12 and Cisco  Unity Connect Tiger Prism  NetCall Orator  GSM Gateway | CUCM 12, Cisco Unity Connect and Microsoft Teams  Tiger Prism  NetCall Orator |
|  |  | 2800 MGCP gateways  Macfarlane Call Plus IVR  Macfarlane Contact+ IMR  ISDN 30s  SIP trunks  Cisco Jabber  4300s CUBEs | GSM Gateway  4300s CUBEs  Macfarlane Contact+/Enghouse  EICC Multichannel Contact Centre and Switchboard  SIP Trunks  Cisco Jabber |
| 2.3.10 | Content  Management | Intranet - Umbraco |  |
| Internet - Umbraco |  |
| 2.3.11 | eForms | Firmstep |  |
| 2.3.12 | “Cloud” incl.  PaaS, IaaS | Microsoft Azure | Microsoft Azure |
| 2.3.13 | Security | Must meet and remain within PSN compliancy | Must meet and remain within PSN compliancy |
| Must meet and remain within Cyber Essentials Plus compliancy | Must meet and remain within  Cyber Essentials Plus compliancy |
| Anti-Virus -  Kaspersky | Anti-Virus – Microsoft Defender |
| Web-proxy - Smoothwall | Web-proxy - Smoothwall |

# 8.4 Information Management

This section defines the Information Management Considerations for the procurement of a new system.

|  |  |  |
| --- | --- | --- |
| **Document and records Management** | | |
| 2.4.1 | EDRMS | Where information needs to be managed in line with records management principles it should be stored in an approved EDRMS throughout the records lifecycle from creation to disposal.  NCC currently utilise Open Text RKYV (locally named  ‘Castle’) as a legacy system which is to be decommissioned. |
|  |  | For further information, contact the Information and  Record Management Team  (informationmatters@nottinghamcity.gov.uk) |
| **Data Quality** | | |
| 2.4.2 | Formatted | Where possible data entry fields should have validation where appropriate. |
| 2.4.3 | Addressing | Addresses held in systems must be in a BS7666:2006 compliance format.  For further information contact the Address  Management Team  (address.management@nottinghamcity.gov.uk) |
| 2.4.4 | Retention and Disposal | Application should allow for automated disposal of records and associated documents at the end of the lifecycle in accordance with the Data Protection Act  2018, UK GDPR and other legislation that dictates the length of time records are held. For further information, contact the Information and Record Management  Team Email  recordsmanagement@nottinghamcity.gov.uk |

# 8.5 Information and Data Security

This section defines the Information and Data security requirements for the procurement of a new system.

|  |  |  |
| --- | --- | --- |
| 2.5.1 | Security Requirements | Systems should be able to be securely installed and managed and maintained from an application server.and network perspective. |
| 2.5.2 | Access to data | Appropriate levels of security should be able to be applied to modules within the system to  ensure that only individuals who have a business need to access records are able to do so. |
| 2.5.3 | Information Transfer | If the system needs to interface with other systems, any transfer of personal and/or sensitive personal information must be done over an encrypted secure link. |
| 2.5.4 | Backup, disaster recovery and business continuity | Where appropriate, the system must provide backup / restore and disaster recovery facilities |
| 2.5.5 | Audit | All systems should have an audit capability.  Where the system holds personal and/or sensitive personal information this should be done down to an individual level. |
| 2.5.6 | Business Intelligence | Microsoft BI Stack (SSIS/SSRS/SSAS) and Power BI On-Premises |

# 8.6 Microsoft Licensing

8.6.1 NCC uses Microsoft productivity tools and server software. The Council’s ICT Strategy identifies the Microsoft product set as the preferred technology in these areas.

Microsoft products are licensed corporately for productivity and servers using Enterprise Subscription Agreement (ESA) and Server Cloud Enrolment (SCE) licences.

The Council’s ESA provides the basis for licensing on premises productivity tools and supports the project to migrate to Office-365 services. Compatibility with this environment is required with new software applications. The core components of the ESA include:

* Client Access Licences (CAL)
* Microsoft Office
* Windows Enterprise
* SharePoint • MS-Visio
* MS-Project

The Council’s SCE provides the basis for licensing servers and databases and includes:

* Core Infrastructure Suite (CIS)
* SQL Server
* Azure

**Section 9: Social Value & Nottingham Business Charter**

## 5.1 Social Value & Nottingham Business Charter

* The principles and policies of the Nottingham Business Charter will be a mandatory condition of contracts with the Authority above the following thresholds:

* Individual contracts over £1,000,000 for services and works **o** Individual contracts over £1,000,000 per annum for goods

* Organisations awarded a contract with a total value below the relevant thresholds (£1,000,000 total value for services and works / £1,000,000 per annum for goods) are encouraged to sign up to the Nottingham Business Charter and commit to its principles on a voluntary basis.

* Organisations signing up to the Business Charter (whether on a mandatory or voluntary basis) will be offered the services of Nottingham Jobs who work with employers to design a bespoke package of support in order to provide a job ready local workforce. For further information about Nottingham Jobs or to sign up to the Nottingham Business Charter, please see **Nottingham Jobs Hub** below.

## 5.2 Retrospective Rebate

**5.2.1** Under the strategic theme of ‘supporting the local economy’, the Procurement Strategy sets out that one of the actions to be taken through procurement to achieve the Authority’s economic objectives is ‘Continuing to provide a revenue stream for our employment support activity through a 1% levy charged on eligible contracts’. Eligible contracts are those with an anticipated value of £200,000 or greater.

**5.2.2** This is implemented through a retrospective rebate which will be payable by suppliers of all non-care contracts, based on the turnover of business conducted through their contract/ framework with the Authority. Rebate income is not ring-fenced solely for use in the year of collection and may be carried forward for use in subsequent years.

**5.2.3** This rebate will be at a rate of 1% of contract turnover.

**5.2.4** Retrospective payment will be made to the Nottingham City Council in respect of all invoices raised in relation to the contract in any calendar quarter.

**5.2.5** Where applicable, the supplier will submit a report of the actual outturn under the contract on a quarterly basis at the request of the Authority. The rebate payment shall be calculated as a 1% percentage of the net value of orders.

**5.2.6** Nottingham City Council will invoice the supplier for rebate payment in arrears based on the contract actual turnover. Invoicing will be on a quarterly or yearly basis at the Authority’s discretion. All invoices must be settled 30 days from the Invoice date.

## 5.3 Business Charter Principles

* The Nottingham Business Charter is a way of doing business in the city to promote and support sustainable growth, social and environmental wellbeing. o Signatories to the Charter will become part of a network of organisations that can do business together, whilst supporting the Charter principles to promote economic prosperity and social environmental wellbeing.

* The Charter also provides a way to create more employment and training opportunities for Nottingham city residents. With Nottingham Jobs we will help employers to find the right people for their business. This free service helps employers to employ the right people with the right skills.

* The Charter identifies the actions and activities that Nottingham City Council, our contracted suppliers and partner organisations will deliver to bring about economic growth and prosperity and help transform Nottingham from a good to a great city.

* Charter Principles:
  + Support the growth of the local economy
  + Be environmentally responsible
  + Be a good employer
  + Be fair and transparent
* Charter Signatories will:
  + Take an active part in improving the economic, social and environmental
  + well-being of Nottingham
  + Promote the Charter within their own supply chain and encourage their suppliers to adopt the principles of the Charter
  + Commit to the principles of the Charter and implement these principles at the earliest opportunity

## 5.4 Business Charter Principles - Support the growth of the local economy

* Where possible Charter signatories will:

• Use the free Nottingham Jobs service to offer employment and training opportunities for local people when creating o Apprenticeships and/or traineeships o General entry-level employment opportunities

* Work experience placements o Internships and graduate placements

* ‘Buy Nottingham First’ – purchase from a local business

* Undertake school visits to support learning and careers events

* Provide in-kind support for Employment and Skills programmes

* Seek opportunities to work with schools to help to ensure that the young people of Nottingham are equipped with the right skills to match the present and future requirements of the labour market

* Commit to create employment and training opportunities for local residents, including people with disabilities and support people into work experience placements

* Encourage suppliers to endorse the principle of ‘Buy Nottingham First’ throughout their supply chains

* Support the local economy and create jobs and apprenticeships by adopting procurement strategies that remove barriers to local businesses

* Support the local economy by choosing suppliers close to the point of service delivery

## 5.5 Business Charter Principles – Be Environmentally Responsible

Charter signatories will commit to contribute to a sustainable future by:

* Pledge support for the city’s carbon neutral 2028 target and report annual carbon emissions

* Maximise energy and water efficiency through behaviour change, improving processes and installing clean technologies

* Support the energy transition; use ‘green’ tariffs, install on site renewable generation or switch to low carbon heating i.e. electric heat pumps

* Raise and record awareness of environmental issues and embed environmental management into corporate objectives

* Work to eliminate waste by pushing the “reduce, reuse, recycle, recover” hierarchy

* Invest in an organisational sustainable transport plan for commuting, grey fleet activity and business related fleet transport; encourage walking and cycling

* Enhance local biodiversity by creating, maintaining and protecting green spaces

* Reduce supply chain impacts by procuring local and/or use sustainable suppliers

* Minimise and monitor all forms of pollution to land, air, water and noise

## 5.6 Business Charter Principles – Be a Good Employer

* Charter signatories will support staff development and welfare and commit to paying the living wage or have a clear plan for moving to paying the living wage

* Signatories will provide a safe and hygienic working environment and not discriminate in terms of recruitment, compensation, access to training, promotion or termination of employment on any grounds

* We also ask Charter signatories not to use zero hour contracts, but instead utilise contracts that allow for suitable flexibility for both employer and employee

## 5.7 Business Charter Principles - Be Fair and Transparent

Charter signatories will operate in a fair and transparent way and will:

* Work to the highest standards of business integrity and ethical conduct
* Work in an inclusive way and actively promote equality and diversity
* Ensure the well-being and protection of workforces, supported by policies
* Adopt best practice when procuring goods and services

## 5.8 Support Services

* **Nottingham City Council and its partners offer several support services that** can assist contractors in meeting their social value objectives and these are detailed below. These services provide a number of functions, which will be highly beneficial in terms of the delivery and monitoring of social value objectives by the contractor as they seek to meet the aims of the Business Charter.
* **Nottingham Jobs Hub**

The Nottingham Jobs Hub offers a free of charge and confidential recruitment service to Council contractors and other local employers

If your business is operating in the Nottingham area we can save you time, money and effort. As part of our services we are able to provide employment advice, details on financial grants such as the **Nottingham Jobs Fund** that you may be entitled to and support with recruitment.

**How will the Jobs Hub support your company?**

You will be assigned a dedicated Account Manager who will work with you to help identify your business needs and design a bespoke package of support, which could include:

* Advertising your jobs on our website with a database of over 2,000 users
* Promoting your vacancies at Jobs Fairs and Community Events
* Access to financial support that could reduce the risk of taking on new

staff

* Pre-screening of candidates
* Providing interview and testing facilities at locations across Nottingham
* Organising recruitment events tailored to your processes and needs
* Connecting you to appropriate training providers to up-skill your workforce
* Provide specialist advice on employing an apprentice
* Connect you to other key partners and services who can provide business development support and funding

To find out more please visit [www.nottinghamjobs.com,](http://www.nottinghamjobs.com/) email info@nottinghamjobs.com or contact the Nottingham Jobs Hub team on 0115 876 4508 to learn more about the services and grant funding on offer.

## ❖ D2N2 Growth Hub

The D2N2 Growth Hub aims to help your business by facilitating better market opportunities for businesses in Derby, Derbyshire, Nottingham and Nottinghamshire.

For many businesses there are difficulties in finding a good contractor, a better deal, or even to decide what their strategy should be and what assistance might help them to realise their potential!

The overarching aim of the D2N2 Growth Hub is to improve the ability of businesses in the D2N2 area to value and engage appropriately with business service providers (be they public or private), and to help business service providers to improve their offer.

Government studies have pointed to the impact that poor use and management of business services has on the economy, as those who use services well are more likely to survive, compete, and grow.

Businesses that use business services well are more likely to make better investments in the right things at the right time, and realise consequent benefits in terms of sustainable competitiveness, profitability and growth. However, many challenges hinder the process, particularly (but not exclusively) for smaller businesses and start-ups. These include the ability to find and manage the right service-providers, and to afford the services offered.

A great host of services are on offer from the public, private and third sector, but businesses may struggle to find their way in this market and make it work for them. In summary, many businesses don’t know what they don’t know, and don’t recognise or, more importantly, value the opportunities and services on offer.

Good services are available, and initiatives already abound to help improve access to them. Overall, however, there still remains great complexity and uncertainty that creates a great barrier to change for many businesses – holding back both users and providers of business services.

The launch of Growth Hubs is an important step in the evolving business support landscape. Growth Hubs will drive SME growth by bringing coherence to the business support landscape, improving awareness, understanding and accessibility of the support available. They will support businesses that aspire to grow and also build capacity in smaller businesses not currently engaged with business support. They will add strategic value to the business support system by ensuring the optimal balance between specialist, targeted national schemes, such as Growth Accelerator and MAS, and localised initiatives and delivery.

**More specifically, the D2N2 Growth Hub will:**

* Create awareness of the benefits of taking up the business services available
* Help businesses understand what services they should be using, and why
* Help business leaders to make informed choices about the service providers they engage with
* Encourage more businesses to work with business service providers and to keep on working with them as they address evolving challenges and opportunities
* Help service providers to understand what customers need and to shape their offer to better match the evolving needs of businesses
* Work with the public, private and third sectors to find ways of appropriately filling the 'gaps'
* Increasingly allow the D2N2 Growth Hub to be recognised as the place to go for information and advice about the business services market in the D2N2 area.

Growth Hubs will build on existing organisational structures where possible and focus on three main areas of activity:

* Increasing the uptake of national and local schemes: facilitate a

'single conversation' with local businesses, raising awareness and

uptake of both public and private sector support by improving coordination, marketing and signposting. Develop links to local access to finance support measures, such as investment readiness, local business angels and networks.

* Enhance and expand the provision of national schemes locally (e.g. MAS, Growth Accelerator, UKTI).
* To provide tailored business support to businesses - the right type of support at the right time.

To find out more please contact the Business Growth Manager, Nottingham City Council, M: 07939 979461 or visit [www.d2n2growthhub.co.uk](http://www.d2n2growthhub.co.uk/)