

**APPENDIX 1: TENDER QUESTIONNAIRE**

**Digital Records Project**



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| **Contents** | | |
| **1**  **2**  **3**  **4**  **5**  **6** | 3.1  3.2  3.3  3.4  3.5  3.6  3.7  4.1  4.2  4.3  4.4  4.5  5.1  5.2  5.3  5.4  5.5  6.1  6.2 | **Instructions for Tender**  **Company & Contact Details**  **Financial Information**  **Service Details**  Transport  Preparation  Digitisation Equipment  Traceability  Scanning Process  Compatibility & Security  Leadtimes  **Quality Assurance**  Quality Management  Key Performance Indicators  Customers  Quality Policies  Certifications & Memberships  **Cost Inputs**  Service – Cost Breakdown  Price per scan – Foolscap size and below  Price per scan – Large Format Documents  Delivery Options  Added Value  **Grounds for exclusion**  Grounds for mandatory exclusion  Grounds for discretionary exclusion |

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| **Instructions for Tender** |
| |  |  | | --- | --- | | **1** | Prior to completing this Questionnaire, please read the accompanying Section 1 Specification for Tender' document and Section 2Tender Submission Requirements and Conditions of Tender | | **2** | Complete all sections of this document, incomplete or empty fields will be scored with a value of ‘0’ | | **3** | Copies of any Policy Documents to be included when returning this document | | **4** | Copies of all relevant and up to date Certification Documents to be included when returning this document | |

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| 1. **Company & Contact Details** |

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| Company name |  |  |
| Registered address |  |  |
| Address where digitisation will take place (if different to above) |  |  |
| Company registration number |  |  |
| VAT registration number |  |  |
| D-U-N-S number |  |  |
| Holding company name & address | **Y/N** |  |
| Name of person completing this Questionnaire |  |  |
| Job title |  |  |
| Contact email address |  |  |
| Contact phone number |  |  |

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| I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate.  I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.  I understand that the information will be used in the selection process to assess my organisation’s suitability to be invited to participate further in this procurement.  I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.  I am aware of the consequences of serious misrepresentation. | |
| Signature |  |
| Date |  |

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| 1. **Financial Information** |

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| Company turnover | £ | |
| End date of last Financial Year |  | |
| Number of employees |  | |
| **Insurance cover** |  | *If amount of cover is different to that given, please state below:* |
| Employees Liability insurance **£5m** | **Y/N** | £ |
| Public Liability insurance **£5m** | **Y/N** | £ |
| Product Liability insurance **£5m** | **Y/N** | £ |
| Professional Indemnity insurance **£2m** | **Y/N** | £ |
| Data Protection Liability Cap **£10m** | **Y/N** | £ |
| Copy supplied of current Certificate of Insurance to be provided on contract award | **Y/N** |  |

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| |  | | --- | | **Relevant experience and contract examples** |   Please provide details of up to two contracts from the past five years. The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below. | | |
|  | **Contract 1** | **Contract 2** |
| Name of customer organisation |  |  |
| Point of contact in the organisation |  |  |
| Position in the organisation |  |  |
| E-mail address |  |  |
| Description of contract |  |  |
| Contract Start date |  |  |
| Contract completion date |  |  |
| Estimated contract value |  |  |

If you cannot provide at least one example, in no more than 500 words please provide an explanation e.g. your organisation is a new start up.

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| 1. **Service details (Stage 1: 20% of evaluation weighting)** |

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| **Section 3.1: TRANSPORT** | | | | |
| Collection service available | **Y/N** |  |  | |
| Own Vehicle | **Y/N** | Size & Type |  | |
| Third-party | **Y/N** | Company name |  | |
| Load Size  (No. of archive boxes) | Maximum | |  | |
| Minimum | |  | |
| Collection Note | **Y/N** | *Sample copy supplied?* | | **Y/N** |

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| **Section 3.2: PREPARATION** | | |
| Preparation service | **Y/N** | *Please describe nature of service offered:* |
| Included in price | **Y/N** |

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| **Section 3.3: DIGITISATION EQUIPMENT** | | | |
| **Make** | **Model** | **Year of installation** | **Describe capability** |
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| **Section 3.4: TRACEABILITY** | | | |
| Booking-in system/ confirmation of receipt | **Y/N** | Describe process |  |
| *Copy supplied?* | **Y/N** |
| Internal tracking system | **Y/N** | Describe process |  |
| Weekly Delivery reports | **Y/N** | *Copy supplied?* | **Y/N** |
| Delivery Note provided | **Y/N** | *Copy supplied?* | **Y/N** |
| Invoicing |  | *Copy supplied?* | **Y/N** |

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| **Section 3.5: SCANNING PROCESS** | | | |
|  | ***Please describe the process used for management of the following document types, including any limiting factors:*** | | |
| 1 | Capability for varying sized documents:  1/3 A4, A6, A5, A4, foolscap, A3, A2, A1, AO | |  |
| 2 | Capability for varying paper weights and types, including fax paper, NCR (no carbon required), semi-transparent for overlays, photographic paper and cardboard | |  |
| 3 | Procedure to capture ‘received date’ of documents where date appears on reverse side, without scanning reverse side | |  |
| 4 | Procedure used for reproduction of photographic images, include measurable details such as PPI (pixels per inch) | |  |
| Procedure to capture photograph dates - date to appear within scanned area / backing card to be excluded from scanned image | |
| Confirm photos identified as being of historic or cultural importance can be returned to the authority - NOT shredded | **Y/N** |
| 5 | Procedure used to identify and remove blank side of documents | |  |
| 6 | Procedure used for management of unwanted image capture such as reverse side of lined paper, marker pen showing on reverse side, etc. | |  |
| 7 | Procedure used for management of difficult to read documents, faded, pencil, etc. | |  |
| 8 | Procedure used for File Recall Service | |  |
| 9 | Document digitisation available with OCR | **Y/N** |  |
| 10 | Shredding service available | **Y/N** |  |
| 11 | Delivery with metadata CSV | **Y/N** |  |

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| **Section 3.6: COMPATIBILITY & SECURITY** | | | | |
| 1 | Software used to scan and transfer digitised documents |  | | |
| 2 | Platforms used for delivery of digitised documents/data transfer |  | | |
| 3 | Back-ups: types & frequency |  | | |
| 4 | Standard retention period for paper documents post- delivery |  | Certificate of Disposal provided? | **Y/N** |
| 5 | Standard retention period for digitised documents post- delivery |  | Certificate of Disposal provided? | **Y/N** |

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| **Section 3.7: LEADTIMES** (number of working days) | | |
| 1 | Notification period for collection |  |
| 2 | File Recall Service from notification to delivery |  |
| 3 | To prepare/scan/deliver single batch of 120 archive boxes |  |
| 4 | Estimated period required for completion of the Project |  |
| 5 | Dates of any annual shutdown periods |  |

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| 1. **Quality Assurance** |

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| **4.1 Quality Management (Stage 1: 30% of evaluation weighting)** | | |
| 1 | Dedicated Quality Team | ***Number of staff and job titles:*** |
| 2 | Approach to delivery of the services/methodology, including the strategies, expertise, methods, materials, and procedures in the proposal |  |
| 3 | Technical merit, including the competence, skills, and experience of the management, professional, and technical personnel proposed for the project |  |
| 4 | Ways of working, including the proposed management systems and methods, project management tools, software, traceability, touchpoints, etc. |  |
| 5 | Procedures for inspection of image quality, to verify that digitised records conform to the requirements, and corrective actions |  |
| 6 | Procedure to manage documents considered unsuitable for scanning or where the image cannot be effectively captured. |  |
| 7 | Procedure to verify metadata, correct file names, proper file sequence, correct file format |  |
| 8 | Procedure for evaluation of completeness, i.e. that all physical records have been accounted for in the digital version (no missing pages), a record is captured accurately (no missing text or images), a record is legible (not too light or too dark), and that 100% of image files can be opened and displayed |  |
| 9 | Sampling frequency |  |
| 10 | Use of supply chain and / or partners for the delivery of services and corrective actions |  |

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| **4.2 Key Performance Indictors (KPI’s) (Stage 1: 10% of evaluation weighting)** | | | | |
|  | ***Please provide details of the system used to report KPI’s, frequency of reports and the target your organisation aims to achieve*** | | | ***Target (%)*** |
| 1 | Delivery | On Time In Full (OTIF) |  |  |
| 2 | Image Quality | Number of rejections based on failure to meet the agreed Image Quality Standard within a 4-week period |  |
| 3 | Service | Failure to respond to queries raised by the PDNPA Project Team within a 48hr period |  |
| 4 | Service | Number of complaints received based on inaccurate information within a 4-week period |  |

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| **4.3 Three largest customers based on previous 2 years of trading** | | Percentage of turnover (%) |
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |

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| **4.4 Policies - *please submit copies of policy documents (0% weighting)*** | *Copy supplied* |
| Quality Procedure and Policy | **Y/N** |
| Health & Safety Policy | **Y/N** |
| Hygiene Policy | **Y/N** |
| Disaster Recovery Plan | **Y/N** |
| GDPR Policy | **Y/N** |

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| **4.5 Certifications and Memberships - *please submit copies of current certificates held (0% weighting)*** | *Copy supplied* |
| **BS EN15713** Secure Destruction of Confidential Material **ESSENTIAL PASS/FAIL** | **Y/N** |
| **ISO 9001** Quality Management System | **Y/N** |
| **ISO 27001** Information Security Management | **Y/N** |
| **ISO 27002** Information Security Code of Practice | **Y/N** |
| **BS 7858** Security Screening on Individuals | **Y/N** |
| **BS 10008** British Standard on Evidential weight and legal admissibility of electronically stored information | **Y/N** |
| **ISO 14001** Environmental Management | **Y/N** |
| **BSIA** membership - The British Security Industry Association | **Y/N** |
| **ICO** registered | **Y/N** |
| **PCI** Financial Security - Security Standards Agency | **Y/N** |
| Other relevant certifications/memberships not listed: | **Y/N** |

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| **5. Cost Inputs (Price)**  **(Sections 5.1-5.3 Stage 1: 20% of evaluation weighting)** |

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| **5.1 Service – Cost Breakdown** | | | | Unit price (£) – *please confirm unit of measure (i.e. each, per batch, total, etc.)* | | |
| 1 | Free trial available | **Y/N** |  |  | | UoM |
| 2 | Collection service | **Y/N** | charged as extra per collection (optimum batch size is 120 archive boxes) | **Y/N** | £ |  |
| 3 | Smaller batch sizes available (less than 120 archive boxes) | **Y/N** | charged as extra per collection (state batch size) | **Y/N** | £ |  |
| 4 | Archive boxes – to be supplied? | **Y/N** | charged as extra per box | **Y/N** | £ |  |
| 5 | Archive boxes – recycled or re-used? | **Y/N** | if ‘yes’ please describe | | | |
| 6 | Preparation service available | **Y/N** | charged as extra | **Y/N** | £ |  |
| 7 | Blank sides chargeable | **Y/N** |  |  |  |  |
| 8 | OCR available | **Y/N** |  |  |  |  |
| 9 | Delivery cost to holding platform | **Y/N** | charged as extra | **Y/N** | £ |  |
| 10 | Shredding available | **Y/N** | charged as extra | **Y/N** | £ |  |
| 11 | Cost for storage of paper documents as per 3.6.4 | **Y/N** | charged as extra | **Y/N** | £ |  |
| 12 | Cost for storage of digital documents as per 3.6.5 | **Y/N** | charged as extra | **Y/N** | £ |  |

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| **5.2 Price per scan - Foolscap size and below – including photographic images** | | | | | |
| Number of individual documents | Number of images to scan (estimated 50% blank one-side) | Cost per scan – **TEXT** (£) | Cost per scan – **PHOTO** (£) | OCR cost per scan (if extra) (£) | Comments |
| 1,000,000 | 1,500,000 | £ | £ | £ |  |
| 1,300,000 | 1,950,000 | £ | £ | £ |  |
| 1,600,000 | 2,400,000 | £ | £ | £ |  |
| 2,000,000 | 3,000,000 | £ | £ | £ |  |

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| **5.3 Price per scan – Large Format Documents (LFD) - A3 up to AO size** | | | | |
| Number of individual documents | Number of images to scan (100% blank one side) | Cost per scan (£) | OCR cost per scan (if extra) (£) | Comments |
| 75,000 | 75,000 | £ | £ |  |
| 98,000 | 98,000 | £ | £ |  |
| 120,000 | 120,000 | £ | £ |  |
| 150,000 | 150,000 | £ | £ |  |

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| **5.4 Delivery options** - | | | | | UoM |
| 1 |  | charged as extra | **Y/N** | £ |  |
| 2 |  | charged as extra | **Y/N** | £ |  |
| 3 |  | charged as extra | **Y/N** | £ |  |

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| **5.5 Added Value - *please describe and provide any supporting evidence* (Stage 1: 20% of evaluation weighting)** |

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| 1 | Brand values |  |
| 2 | Social values - jobs/growth/social /innovation (job creation, disabled or disadvantaged employees) |  |
| 3 | Environmental values - Life Cycle Costs - details of Carbon Reduction Plans/Policy and other environmental initiatives  *For example, energy consumption (i.e. energy use of appliances), collection (pollution, Clean & Efficient Vehicles Directive 2009/33/EU), recycling (shredded documents - what happens to waste material?)* |  |
| 4 | Unique selling points/innovative characteristics/solutions |  |

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| **6. Grounds for exclusion** |

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| **6.1 Grounds for mandatory exclusion** |

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| Has the organisation had any enforcement action taken against it in the last three years? | YES | | |  | | |  | | |
| NO | | |  | | |  | | |
| Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any criminal offence, corruption, fraud, terrorist offence of funding, money laundering or human trafficking: | | | Yes | | |  | |  | |
| No | | |  | |
|  | |
| Has it been established that the organisation is in breach of obligations related to the payment of tax or social security contributions? | | | Yes  No | | |  | |  | |
|  | |
|  | |
| If you have answered yes to either question above please provide further details.  Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, the identity of who has been convicted: | | | | | | | | | |
|  | | | | | | | | | |
| |  | | --- | | **6.2 Grounds for discretionary exclusion** |   Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. | | | | | | | | | |
| Breach of environmental, social or labour law obligations,  Bankrupt or is the subject of insolvency or winding-up proceedings  Guilty of grave professional misconduct or distorting competition? | | Yes | | |  | | | |  |
| No | | |  | | | |
|  | | | |
| If you have answered yes to the question above, please provide further details including what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground (Self-cleaning). | | | | | | | | | |
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\*This Questionnaire is a self-declaration made by you that you do not meet any of the grounds for exclusion or if you do, you are given the opportunity to provide an explanation and measures taken (self-cleaning). This declaration also includes and relates to those sub contactors upon which you wish to rely.