PE/ITEC-CLAVIS14

"Setting up a historical archives and document management solution"

SPECIFICATIONS AND THE ANNEXES THERETO

September 2014

Contents

1. INTRODUCTION

These specifications are an integral part of the documents drawn up for the invitation to tender for the contract referred to. The documents relating to the invitation to tender comprise:

- a letter of invitation to tender;
- conditions for submitting a tender;
- specifications and the annexes thereto; and
- a draft Framework contract.

These specifications are supplemented by the following annexes, which are an integral part thereof:

Annex I: 1. Technical specifications

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PART I – GENERAL INFORMATION

2. SUBJECT OF THE CONTRACT

In accordance with the provisions of Council Regulation (EC, Euratom) No 966/2012 of 25 October 2012 on the financial rules applicable to the general budget of the European Union, the European Parliament has decided to issue this invitation to tender for the set-up of a documentation and archive management software.

3. DESCRIPTION, PURPOSE AND ESTIMATED VALUE OF THE CONTRACT

The purpose of this invitation to tender is to set up a historical archive and document management solution. This solution is intended to replace the present software used as the European Parliament's Historical Archives' database and should add certain functionalities which have now become indispensable.

The aim of the invitation to tender is to select a supplier which can provide a solution that can be integrated into the European Parliament's technical environment with all the required functionalities, as specified in the tender documents.

The tenderer shall propose a project, led by the tenderer's project team (in close collaboration with key users and stakeholders of the European Parliament), of which the final product shall be the **supply** of a software system fully adapted to the needs of the European Parliament's Historical Archives Unit. The project scope must include the analysis of the current workflows and software tools of the Historical Archives Unit, the development or customisation of a software system that supports all necessary functionalities and is open to future modifications, and the transfer of all existing archival data (explicitly available in the database and implicitly present in the existing software system in terms of business logic) into the new system.

The invitation to tender also includes **the provision of services**. The following services must be guaranteed:

- training;
- (corrective) maintenance of the system (including updates);
- evolutive maintenance and further development of the system;
- a helpdesk for diagnostic service, software and user support;
- consultancy.

It must be possible for all the services required in the contract to be provided in English and/or in French.

Contract procedures:

The tenderer may only bid for the entire contract: Supply of the required solution and services. All documents which are required for submitting a tender are listed in part: CONDITIONS FOR SUBMITTING A TENDER.

Software maintenance, as described in the minimal requirements relating to service levels (SLA) (Annex II), will extend throughout the entire period covered by Article I.2.2 of the framework contract. As part of the price questionnaire, the tenderer will be required to indicate the cost of annual maintenance.

The tenderer is also required to include with the paper bid two copies of a CD/DVD-ROM containing the complete bid, in a searchable text format (e.g. PDF). The obligation to use searchable text concerns the tenderer's response to the technical specification. The hard copy will continue to be the official copy and take precedence over every other format.

The call for tender will be implemented in accordance with the needs of the European Parliament. For example, the European Parliament may, at the time of signing the framework contract, acquire the solution and order the related services for the first year.

Subsequently, services may be subject to orders in each budget year according to the needs of the European Parliament throughout the period covered by Article I.2.2 of the framework contract under the terms and conditions contained in the initial bid, particularly in relation to prices and content (under the conditions of point 8 of the technical specifications and Article I.3 of the framework contract); this shall apply to both the solution

and to each service contained in the service contract; the European Parliament will accept only one cost model for the licence.

Under no circumstances will these estimates imply an obligation to purchase on the part of the European Parliament; this shall apply to both the proposed solution and to each service contained in the service contract.

The delivery costs shall be considered to refer to Luxembourg and shall be included in the costs.

The cost must also take into account any environmental or recycling tax or copyright, etc. that may be applicable to this type of product in all Member States of the European Union.

Tenderers interested in using the electronic documents made available through the procedure stipulated in the cover letter should note that the use of such documents must comply with the formats and instructions contained in the technical specifications. More specifically, the tenderer is required to follow in its offer the exact order and identification of the technical specifications as presented in this document. Any violation of this request risks at eliminating the offer.

The supply part of the framework contract relating to the acquisition, installation and configuration of the software will be valid for an initial term of two years, after which it may be tacitly renewed each year (2+1+1), thus running for a maximum of four years.

The provision of services will be valid for an initial term of two years, after which it may be tacitly renewed each year, without exceeding 10 years. Performance of the contract shall not begin until the framework contract is signed. Any renewal of the contract shall take place in accordance with the terms laid down in the contract.

The total value of the contract is estimated to be between EUR 1 000 000 and EUR 2 000 000, of which 40% is estimated to be used for services after the completion of the initial supply project.

The institutions may exercise the option to increase the estimated contract amount, by maximally 50%, at a later stage via negotiated procedure with the successful tenderer in accordance with Article 134(1)(f) of the Implementing Rules of the Financial Regulation.

4. PARTICIPATION IN THE TENDER PROCEDURE

Participation in this invitation-to-tender procedure is open on the same terms to all natural or legal persons and public entities in a European Union Member State and to all natural and legal persons and public entities of a third country which has concluded a specific public-procurement agreement with the European Union giving them access to the contract which is the subject of this invitation to tender and on the terms laid down by that agreement.

The contract is also open to nationals of the states which have ratified the Plurilateral Agreement on Government Procurement within the World Trade Organisation, on the terms laid down by that agreement.

If a potential tenderer is not eligible pursuant to the aforementioned agreements, he may exceptionally be permitted by the European Parliament to participate in the tender procedure on an ad hoc basis, without this creating any precedent or obligation for the future. Although the tender documents may be sent on request to a tenderer who does not come under these agreements, this does not presuppose that tenders submitted will subsequently be accepted by the European Parliament.

In order to ascertain the eligibility of tenderers, they must indicate in their tenders the country in which they have their registered office or in which they are domiciled. They must also submit the evidence required under their national law or other, equivalent proof enabling the European Parliament to check where they come from.

5. CONSORTIUMS OF ECONOMIC OPERATORS

If the tender is submitted by a consortium of economic operators, Annex IV – Form2 must be completed and included with it.

Consortiums of economic operators may submit a tender. The European Parliament reserves the right to require the consortium selected to have a given legal form if this is necessary for the proper performance of the contract.

This requirement may be communicated by the European Parliament at any time during the contract award procedure, but at all events before the contract is signed.

The consortium of economic operators shall provide proof of its legal form by the time the contract - if awarded to it - is signed. This may take one of the following forms:

- an entity with legal personality recognised by a Member State;

- an entity without legal personality but offering sufficient protection of the European Parliament's contractual interests (depending on the Member State concerned, this may be, for example, a consortium or a temporary partnership);

- the signature by all the partners of a type of 'power of attorney' or equivalent document confirming a form of cooperation.

The consortium's actual status shall be established by any document or agreement signed by the members of the consortium, which shall be appended to the tender.

Those documents or agreements may exceptionally be modified and/or submitted after the time limit for submission of a tender, but under no circumstances after the outcome of the invitation to tender has been communicated to the tenderers concerned. The European Parliament reserves the right to reject a tender if the terms of agreements between the members of a consortium are modified during the procedure, if those terms make no provision for the joint and several liability of the consortium's members or if no agreement with legal force has been submitted with the tender.

The European Parliament may accept other legal forms not referred to above, provided that they ensure the parties' joint and several liability and are compatible with performance of the contract. At all events, it should be noted that, in the contract to be signed with the consortium, the European Parliament will refer expressly to the existence of such joint and several liability. In addition, it reserves the right to require, contractually, the appointment of an authorised representative who may represent the members and who is empowered, inter alia, to issue invoices on behalf of the other members.

Tenders from consortiums of economic operators must specify the role, qualifications and experience of each of the members of the consortium. The tender shall be submitted jointly by the economic operators, who shall also assume joint and several liability for the tender submission.

In the case of a consortium of economic operators, each member shall furnish proof of right of access to the contract (eligibility), as well as proof concerning compliance with the exclusion and selection criteria. With regard to the selection criteria, the European Parliament may rely on the capacity of the other members of the consortium in order to establish whether the tenderer will have the resources needed to perform the contract. In this case an undertaking shall be required from those members stating that they will make available to the other members the resources needed to perform the contract.

6. SUBCONTRACTING

Subcontracting is permitted.

If the tenderer uses subcontractors, Annex IV – Form3 must be completed and included with the tender.

The tender shall give details, as far as possible, of that part of the contract which the tenderer proposes to subcontract and the identity of the subcontractors. During the contract award procedure or performance of the contract the European Parliament will require tenderers to supply information about the financial, economic, technical and professional capacity of the proposed subcontractor(s). Likewise, the European Parliament will demand the requisite proof to establish whether the subcontractors comply with the requisite exclusion criteria. Tenderers are hereby informed that proposed subcontractors may not be in one of the situations described in Articles 106, 107 and 109 of the Financial Regulation, which entail exclusion from participation in a contract issued by the European Union.

The European Parliament is entitled to reject any subcontractor who does not comply with the exclusion and/or selection criteria (see points 13 and 14 respectively).

Furthermore, the European Parliament must be informed by the Contractor of any subsequent use of subcontracting not provided for in the tender. The authorising officer responsible reserves the right to accept or reject the proposed subcontractor. In order to do so he may demand the requisite proof to establish whether the subcontractor(s) complies/comply with the requisite criteria. The European Parliament's authorisation will always be granted in writing.

If the contract is awarded to a tenderer who proposes a subcontractor in his tender, this equates to giving consent for the subcontracting.

7. VARIANTS

Variants are not permitted.

8. PRICES

For the modules related to the supply part of the contract, prices shall be firm. Prices for the modules related to services shall be revised in accordance with the terms set out in the contract.

Pursuant to Article 3 of the Protocol on the privileges and immunities of the European Union, the price quotation shall be submitted excluding VAT and other equivalent indirect taxes.

9. FINANCIAL GUARANTEES

The price quoted must be all-inclusive and expressed in euros, including for countries which are not part of the euro zone. For tenderers in those countries, the amount of the tender may not be revised in line with exchange rate movements. It is for the tenderer to select an exchange rate and accept the risks or the benefits deriving from any variation.

Apart from any performance bonds required during performance of the contract, no tendering guarantee is required.

10. ENVIRONMENTAL ASPECTS

The European Parliament's environmental policy

Tenderers shall undertake to comply with the environmental legislation in force in the field of the contract, should it be awarded to them. It should be noted in this connection that the European Parliament applies the EMAS environmental management system in accordance with Regulation (EC) No 1221/2009 of the European Parliament and of the Council of 25 November 2009. Information about EMAS is provided by the authorising department in Annex I.3 to these specifications. The successful tenderer will be required to ensure that the information provided by the European Parliament on the EMAS programme in general, and more specifically on the implementation of environmental measures in practice, is known by all his staff working for the European Parliament. At the European Parliament's request the successful tenderer may be required to certify that anyone assigned to work under the contract has received the appropriate professional training required (technical, safety and environmental training) concerning compliance with safety rules and correct handling of the equipment and products to be used, including action to be taken in the event of incorrect handling or any other incidents. Upon request the successful tenderer will also supply the requisite information for European Parliament staff on the environmental measures to be taken with regard to the products used in connection with performance of the contract.

11. POLICY ON THE PROMOTION OF EQUAL OPPORTUNITIES

Tenderers shall undertake to observe a policy on the promotion of equality and diversity in the performance of the contract, should it be awarded to them, by applying the principles of non-discrimination and equality set out in the Community Treaties in full and in their entirety. More particularly, the tenderer awarded the contract shall undertake to establish, maintain and promote an open and inclusive working environment which respects human dignity and the principles of equal opportunities, based on three main elements:

- equality between men and women;
- employment and integration of disabled persons;
- the removal of all obstacles to recruitment and all potential discrimination based on sex, race or ethnic origin, religion or convictions, disability, age or sexual orientation.

12. PERFORMANCE OF FRAMEWORK CONTRACTS

The framework contracts will be performed on the basis of specific contracts or order forms, to be signed following the application of a system whereby orders are placed without competition being reopened.

The establishment of this system will entail a maximum of 1 framework contracts being signed with the first economic operator upon completion of the evaluation of the tenders submitted.

Signature of the framework contract shall not imply any obligation on behalf of the European Parliament to issue one or more specific contracts during the duration of the framework contract.

PART II – EXCLUSION, SELECTION AND AWARD CRITERIA

13. EXCLUSION CRITERIA

Article 106 of the Financial Regulation

1. Candidates or tenderers shall be excluded from participation in procurement procedures if:

   a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

   b) they or persons having powers of representation, decision making or control over them have been convicted of an offence concerning their professional conduct by a judgment of a competent authority of a Member State which has the force of res judicata;

   c) they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify including by decisions of the EIB and international organisations;

   d) they are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;

   e) they or persons having powers of representation, decision making or control over them have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such illegal activity is detrimental to the Union's financial interests;

   f) they are subject to an administrative penalty referred to in Article 109(1).

   Points (a) to (d) of the first subparagraph shall not apply in the case of the purchase of supplies on particularly advantageous terms from a supplier which is definitively winding up its business activities or from the receivers or liquidators of a bankruptcy, through an arrangement with creditors, or through a similar procedure under national law.

Points (b) and (e) of the first subparagraph shall not apply where the candidates or tenderers can demonstrate that adequate measures have been adopted against the persons having powers of representation, decision making or control over them, who are subject to a judgment as referred to in points (b) or (e) of the first subparagraph.

Article 107 of the Financial Regulation

2. A contract shall not be awarded to candidates or tenderers who, during the procurement procedure for that contract:

   a) are subject to a conflict of interests;

   b) are guilty of misrepresenting the information required by the contracting authority as a condition of participation in the procurement procedure or fail to supply that information;

   c) find themselves in one of the situations of exclusion, referred to in Article 106(1), for the procurement procedure.

13.1. Evaluation of the exclusion criteria

1. All tenderers must submit the declaration on the tenderer's honour, duly dated and signed, which is set out in Annex IV-Form0.

2. The tenderer to whom the contract is to be awarded will be required, within 15 calendar days of the date of notification of the provisional award of the contract and before the contract is signed, to supply the following documentary evidence:

   - a recent extract from the judicial record or, failing that, a recent equivalent document issued by a judicial or administrative authority in the country of origin or provenance showing that the tenderer to whom the contract is to be awarded is not in one of the situations referred to in Article 106(1)(a), (b) or (e) of the Financial Regulation; for the instances referred to in Article 106(1)(b) and (e), the same shall apply to persons having powers of representation, decision making or control over the tenderer;
   - a recent certificate issued by the competent authority of the State concerned proving that the tenderer is not in the situation referred to in Article 106(1)(d) of the Financial Regulation.
   - where the documents or certificates referred to above are not issued in the country concerned, and in respect of the other exclusion situations referred to in Article 106 of the Financial Regulation, they may be replaced by a sworn or, failing that, a solemn statement made by the interested party before a judicial or administrative authority, a notary or a qualified professional body in his country of origin or provenance.

14. SELECTION CRITERIA

Any tenderer must furnish proof of his authorisation to perform the contract under his national law. To do so, he shall submit one or more supporting documents substantiating that authorisation. The European Parliament accepts, as supporting documents, registration in the business or professional registry, a sworn statement or certificate substantiating membership of a specific organisation or registration in the VAT registry. If none of these documents provides the requisite proof to substantiate and assess the existence of such authorisation, the European Parliament may accept other equivalent official documents furnished by the tenderer.

In the case of consortiums of economic operators, each member will furnish proof of authorisation to perform the contract.

Proof of status and legal capacity

As proof of their status and legal capacity, tenderer must append to their tenders a copy of their articles of association or equivalent document enabling the European Parliament to determine their form and legal capacity to perform the contract. Should the proof submitted not be sufficient for that purpose, the European Parliament may demand other proof during the tender assessment process. Where no such proof is submitted, the European Parliament reserves the right to deem the tender inadmissible.

Where tenders are submitted by natural persons, the proof required must include a copy of an identity document and any other document allowing assessment of the persons' legal capacity to perform the contract (registration in the VAT registry, in the business or professional registry, etc.).

14.1. Financial and economic capacity

Tenderers shall have sufficient economic and financial resources to enable them to perform the contract in compliance with the contractual provisions, given the value and scope thereof. If, on the basis of the information supplied by the tenderer, the European Parliament has doubts about a tenderer's financial resources, or if these are insufficient for performance of the contract, the tender may be rejected without the tenderer being entitled to claim any financial compensation.

In respect of the contract which is the subject of this invitation to tender, the European Parliament furthermore requires tenderers to have a minimum financial and economic capacity, which will be assessed on the basis of the following information:

- a minimum turnover of EUR 1 800 000 for each year during the last three years for which accounts have been closed is required.

Financial and economic capacity will be assessed on the basis of the information included in the following documents, to be supplied by tenderers:

- financial statements (balance sheets) for each year during the last three years for which accounts have been closed.

If the tenderer is unable to provide the references requested, he may prove his economic and financial capacity by any other means which the European Parliament considers appropriate.

The tenderer may also rely on the capacity of other entities, irrespective of the legal nature of the links between him and those entities. In that case, he must prove to the European Parliament that he will have the resources needed to perform the contract, for instance by providing an assurance of the undertaking by those entities to make them available to him. In that case the European Parliament is entitled to refuse the application or the tender submitted if it has doubts about the undertaking by the third party or about that party's financial capacity. The European Parliament may require the tenderer and those other entities to be jointly liable for performance of the contract.

On the same basis, a consortium of economic operators may rely on the capacity of members of the consortium.

Tenderers may also rely on the economic capacities of one or more subcontractors in so far as they undertake to take part in the process of performing the contract. In such instances, the European Parliament will assess the capacities of the subcontractor(s) in the light of the extent to which the latter is/are involved in performing the contract.

14.2. Technical and professional capacity

Tenderers must have sufficient technical and professional capacity to enable them to perform the contract in compliance with the contractual provisions, taking into account its value and scale. If, in the light of the information supplied by the tenderer, the European Parliament has doubts about a tenderer's technical and professional capacity, or if it is clearly insufficient for performance of the contract, the tender may be rejected without the tenderer being able to claim any financial compensation.

In respect of the contract which is the subject of this invitation to tender the European Parliament requires tenderers to have the following minimal technical and professional capacity:

a) a team of experts in the field covered by the invitation to tender. The team must comprise at least 4 persons, among whom:

   a. a project leader responsible for providing the services, with at least 5 years' proven experience in the field covered by the invitation to tender,

   b. an IT analyst with a minimum of 3 years of proven experience in analysis of IT systems in the field covered by the invitation to tender, and

   c. 2 developers who each have at least 3 years of proven experience in development of software solutions in the field covered by the invitation to tender;

b) experience with at least three similar IT development projects, carried out over the course of the past 8 years, in the field of archiving solutions for cultural heritage organisations (library, museum, historical archives), and comparable in scope and size with the project outlined in this call for tender;

c) conformity to the IT environment of the European Parliament (described in Annex I.2).

Depending on the nature, quantity or scale and purpose of the supplies, services or works to be provided, the technical and professional capacity of economic operators will be substantiated by one or more of the following documents:

a) CVs: the educational and professional qualifications of the service provider or contractor and, in particular, those of the person or persons responsible for providing the services or carrying out the works. The CVs supplied should cover at least the following profiles: 1 project manager profile (min. 5 years' experience), 1 IT analyst profile (min. 3 years' experience), 2 developer profiles (min. 3 years' experience);

b) a list of the principal services, similar to those required by the contract concerned, provided in the past 8 years, with the sums, dates and recipients (public or private); if the recipient of those services and supplies was a department of a European Union institution, economic operators shall furnish proof in the form of certificates issued or countersigned by the competent authority;

c) the declaration concerning the conformity to the European Parliament's IT environment, duly dated and signed, which is set out in Annex IV-Form5. The conformity of the proposed solution with the European Parliament's IT environment must be substantiated with appropriate supporting technical documents.

The tenderer or candidate may also rely on the capacity of other entities, irrespective of the legal nature of the links between himself and those entities. In that case, he must prove to the European Parliament that he will have the resources needed to perform the contract, for instance by providing an assurance of the undertaking by those entities to make them available to him. In that case the European Parliament is entitled to refuse the application or the tender submitted if it has doubts about the undertaking by the third party or about that party's professional and/or technical capacity.

At all events, tenderers may always rely on the economic capacities of one or more subcontractors in so far as they undertake to take part in the process of performing the contract. In such instances, the European Parliament will assess the capacities of the subcontractor(s) in the light of the extent to which the latter is/are involved in performing the contract.

If it establishes that a tenderer faces a conflict of interest which could affect the performance of the contract, the European Parliament may conclude that the tenderer is not of the calibre required to perform the contract.

15. AWARD CRITERIA

15.1. EVALUATION OF TENDERS

The contract will be awarded to the tender offering the best value for money.

The number of points obtained for the price criterion is added to the number of points obtained in the evaluation of the qualitative criteria. The following formula indicates the weighting given to the number of points for each type of criterion:

(Price criterion points) * [30 %] + (Qualitative criteria points) * [70 %]

The tender which obtains the highest number of points following the application of the above formula will be ranked first.

Evaluation methodology

The tenders of the tenderers who remain in contention after tenders have been checked against the exclusion and selection criteria will be assessed by means of the award criteria, based on the **information provided in the tenderer's file**, as well as on the **demonstration DVD-ROM** with a version of the software (which may be a marketing demonstration version, an evaluation version, or a scaled-down version containing a set of fictitious data). The demonstration DVD-ROM may be replaced by a website address where a working demonstration version of the software is available.

To be selected for the next price evaluation stage, tenders will be required to obtain the minimum required for the functional quality criteria.

15.2. AWARD CRITERIA

Tenders will be evaluated on the basis of the following criteria:

1. Award criteria — Quality criteria — Evaluation of the quality of tenders

Qualitative criterion 1: The functional quality of the proposed software product (maximum: 40 points):

- Criterion 1.1: Evaluation of the global quality (maximum: 20 points)
- Criterion 1.2: Evaluation of the functional quality (maximum: 20 points)

By global quality it is understood tenderer's a) capacity to provide a structured and comprehensible offer, b) understanding for the objectives of this call for tender and c) quality of explanations and clarifications, which help in understanding the proposed implementation of the solution.

By functional quality it is understood tenderer's replies to the functional questionnaire.

Qualitative criterion 2: Quality of the proposed project approach (maximum: 20 points)

By quality of project approach it is understood especially the quality of the tenderer's a) project plan (including timing), b) approach to project management, c) user-involvement during development, d) quality of the proposed project team, e) proposed on-site presence of the tenderer's project team.

Qualitative criterion 3: Quality of allied services (maximum: 30 points)

- Criterion 3.1: User training (maximum: 10 points).
- Criterion 3.2: Maintenance service & user support (maximum: 10 points).
- Criterion 3.3: Future evolution / development / consultancy (maximum: 10 points).

By quality of user training it is understood the tenderer's capacity to deliver exhaustive training packages for different user groups, including in-depth training offered for data managers and archivists. By quality of the maintenance service it is understood the tenderer's ability to provide efficient maintenance and user support, and the quality of the proposed SLA.

By quality of future evolution / development / consultancy it is understood the tenderer's proposed approach to guarantee the future evolution of the system (after completion of the initial supply project).

Qualitative criterion 4: Performance (maximum: 10 points)

The performance of the system will be assessed by means of the Questionnaire about the provision of services and performance (Annex IV-Form7).

The quality of the tender will be assessed on a scale of 100 points on the basis of the following distribution:

Criteria	Max points	Min points required
Qualitative criterion 1: The functional quality of the proposed solution	**40**	**24**
Qualitative criterion 2: Quality of the proposed project approach	**20**	**12**
Qualitative criterion 3: Quality of allied services	**30**	**18**
Qualitative criterion 4: Performance	**10**	**6**
Total points Quality criteria	**100**	**60**

A minimum level of 60% of the points available for qualitative criteria 1 to 4 must be reached. Offers which do not reach this limit will be eliminated at this stage, in which case no evaluation of the financial part will be performed.

2. Award criteria - Price criterion - Evaluation of financial Offer

The specifications include a breakdown of unit prices for supplies and services. The 'price' award criterion takes into account the unit prices and the quantities of supplies and services announced to cover the framework contract throughout its period of validity (The hardware and the licenses for the operating system and database are provided by the European Parliament).

These unit prices will be taken into account for the purposes of evaluating tenders without this representing any commitment by the institution with regard to the actual services. **It is therefore vital that the Price List in Annex V is completed in full**. In order to compare financial offers, a **Total price** will be calculated on the basis of the following:

ELEMENTS	QUANTITY	PRICE	TOTAL COSTS
Global cost for the Basic supply	1		
Price of Additional Supplies I-Important (development of Type 2)	**170**		
Price of Additional Supplies D-Desirable (development of Type 2)	**90**		
Price of Services			
the cost of annual maintenance during the warranty period of two years (in €, excl. tax) (irrespective of the number of users)	2		
the cost of annual maintenance beyond the warranty period for the licence (in €, excl. tax) (irrespective of the number of users)	8		
- Support	25		

- Training	19		
- Consultancy	56		
- Development Type 1	125		
TOTAL PRICE			

- **Global cost for the Basic supply**

  The flat-rate price for the acquisition of the licence with functionalities classified as O-Obligatory (cf. Annex IV-Form8), installation and adaptation of the documentation and archive management software offered, recovery of the data and documents in the existing system and entering them in the new one.

- **Price of Additional Supplies I-Important**

  The cost of implementing all functionalities classified as I-Important (cf. Annex IV-Form8). In order to compare financial offers, this price will be calculated based on 100 days for all services at a cost of development of Type 2.

- **Price of Additional Supplies D-Desirable**

  The cost of implementing all functionalities classified as D-Desirable (cf. Annex IV-Form8). In order to compare financial offers, this price will be calculated based on 50 days for all services at a cost of development of Type 2.

- **Price for the provision of Services**

  Application maintenance and corrective maintenance, including aid and assistance to users (the cost of annual maintenance during the warranty period of two years added to the cost of 8 years of annual maintenance beyond the initial period for the licence (in €, excl. tax)), irrespective of the number of users.

  - Support (25 days)

  - Training (19 days)

  - Consultancy (56 days)

  - Development Type 1 (125 days)

The assessors will award a maximum of 100 points to the **Total price**. The lowest-priced tender (which has obtained the minimum score laid down for the qualitative evaluation) will be given the maximum points. The other tenders will be awarded points in proportion to their divergence from the lowest-priced tender.

The formula to be used for awarding points under the price criterion will be as follows:

(Pm / Po) * 100

where

Pm: price of lowest-priced tender

Po: price of tender being evaluated.

Annex I.1: Technical specifications

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1 The Historical Archives of the European Parliament

1.1 Tasks

The Historical Archives of the European Parliament is the unit responsible for the management, preservation and opening to the public of the **historical archives** of the European Parliament. The legal basis for its activities originated in Council Regulation (EEC, Euratom) No 354/83 concerning the opening to the public of the historical archives of the European Economic Community and the European Atomic Energy Community.

The missions of the Historical Archives involve:

- acquiring historical archives by:
  - **accession** of documents from the European Parliament services,
  - **acquisition** of private archives, and in particular the archives of Members and former Members of the European Parliament;
- processing the archives by:
  - **appraising** the documents, selecting those which have historical, legal or administrative value and should thus be stored permanently, and destroying the remaining documents,
  - **arranging** the documents with respect to their provenance and original order,
  - **describing,** contextualising and indexing the historical archives to support searches by users;
- preserving the historical archives by:
  - ensuring the proper packaging and storage of the paper archives for **long-term preservation**,
  - **digitising** analogue documents and **migrating** digitally born documents to formats suitable for **long-term preservation**,
  - **transferring** historical paper archives which are over 30 years old to the Historical Archives of the European Union in Florence;
- opening the historical archives to the internal and external public by:
  - providing access to the historical archives, and in particular to the digitised and digitally born documents alongside their description,
  - offering internal (intranet) and external (internet) users direct search interfaces for accessing documents,
  - welcoming external users, who are often researchers or students, and helping them in their research,
  - conducting specialised documentary searches or searches for factual information as requested by internal and external users;
- promoting the historical archives, in particular by:
  - publishing historical studies based on the historical archives,
  - designing exhibitions based on the historical archives,
  - conducting oral history interviews with major figures of the European Parliament.

1.2 Workflow

The workflow described below is restricted to features related to the call for tender.

1.2.1 Acquisition of documents

The **acquisition** of paper or electronic documents is principally done by **accession** from the European Parliament services. Private archives may also be **deposited** at the Historical Archives, mainly by Members or former Members of the European Parliament.

The acquisition process is a continuous one. The Historical Archives therefore manages mostly **open fonds**, i.e. **fonds** to which items may subsequently be added.

Each acquisition, regardless of its origin, is documented by a **transfer list**, signed by the creator of the documents and the Historical Archives.

1.2.2 Processing the archives

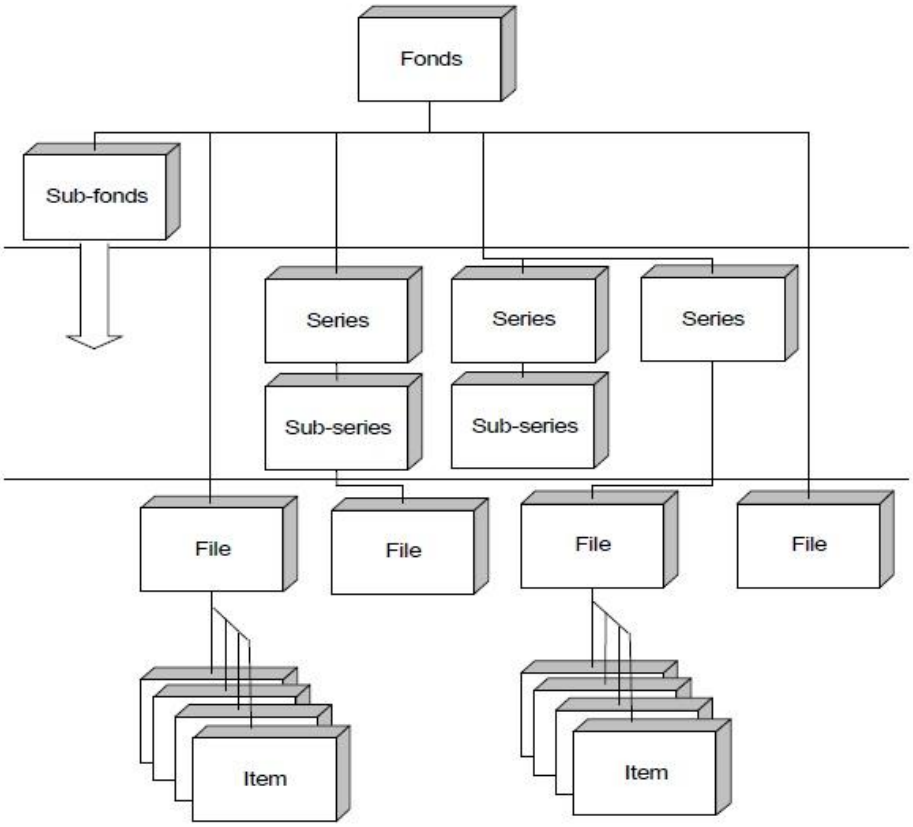
1.2.2.1 Appraisal

Acquisitions are submitted for **appraisal** to identify documents that should be selected as historical archives and documents that may be discarded for destruction.
Appraisal can take place prior to **acquisition** or after **accessioning** and is mainly done outside the system. Whilst the basis for appraisal relies on the Institution's more general document management policy, information about the process of appraisal, selection and destruction should be documented and is part of the archival description.

1.2.2.2 Arrangement and classification

Arrangement is the process of analysing and organising **documentary materials** to protect their context and to achieve physical and intellectual control over the materials. Arrangement is often combined with the process of packaging paper and analogue materials in long-term preservation containers and folders, and includes the **labelling** and shelving of materials (see below on packaging and storage).
Arrangement follows the archival principles of respect for provenance and original order, the practical consequence of which is organisation of the documents in a hierarchical order from the general to the specific. The number of **levels** may vary depending on the nature of the fonds.

Model of the levels of arrangement of a fonds from the ISAD(G) standard. The ISAD(G) hierarchical model shows a typical case and does not include all possible combinations of levels. Any number of

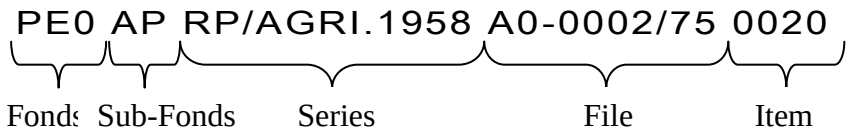


intermediate levels are possible between any shown in the model.

Arrangement is a pre-condition for describing the archives and is reflected in the **archival description**. **Arrangement** of most **fonds** is done in accordance with a pre-defined **classification scheme** at least for the upper levels of the hierarchical arrangement and, in the case of the legislative fonds, for all levels of arrangement.

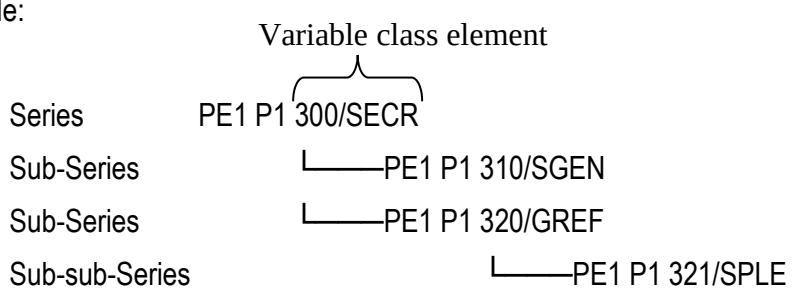
1.2.2.3 Reference code and identifiers

All processed historical archives are given a **reference code** to identify each item in order to facilitate retrieval and access.
The reference code is based on the **classification scheme** and reflects, in most cases, all levels of classification in successive class elements.
Example: reference code of an item and of its corresponding archival description entry:



Elements composing the **reference code** are inherited from the top level of the classification scheme.
Alternatives include variations in the same class element to identify successive sub-levels of classification.

Example:



This **reference code** is also present on all related **archival description entries,** with the same inheritance mechanism from the descriptive entry at the fonds level to the item level.
The **reference code** is not the only identifier used at the Historical Archives. All acquisitions are given an **accession code** in order to facilitate their storage, management and retrieval. The historical archives transferred to the Historical Archives of the European Union in Florence acquire an additional reference code, commonly known as the "**Florence code**".
Some documents also possess one or more **internal references numbers** used within the European Parliament and outside as a unique identifier.

1.2.2.4 Description

The description of the historical archives is based upon the principles set by the international standard on archival description (ISAD(G)) and the international standard on archival authority record for corporate bodies, persons and families (ISAAR(CPF)) published by the International Council on Archives.
The multilevel description rules are:

- description from the general to the specific to represent the context and the hierarchical structure of the fonds and its parts;
- information relevant to the level of description;
- linking of the description to make explicit the position of the unit of description in the hierarchy;

- non-repetition of information to avoid redundancy of information in hierarchically related archival descriptions.

The **archival description** based on the ISAD(G) standard is enriched by the addition of several elements of description and information tailored to each fonds.

The archival descriptions may either be created manually or obtained from electronic sources that exist elsewhere within the European Parliament and are completed by hand at a later stage. These sources are heterogeneous and variable, which means that the procedures for acquiring and converting these data are defined on a case-by-case basis.

The specifics of the description of certain types of fonds are detailed below.

Description of legislative fonds

The description of **legislative fonds** is characterised by the systematic use of a full pre-defined **classification scheme**, including a fixed number of levels of **arrangement**, and pre-defined description models tailored to each type of legislative document. All these description tools evolve on a regular basis to closely follow changes in the legislative process.

Insofar as possible, the description of legislative fonds is acquired by the extraction of data from upstream IT applications, at least at file level.

Description of administrative and non-legislative fonds

The **arrangement** and **description** of administrative and non-legislative fonds is inscribed in the upper levels of the classification scheme, but their individual **filing plans** are more freely developed at the lower levels, closely following the original order of the documentary materials.

Description of specific collections

Specific collections include photographs, posters, audio and video materials or microfiches, the latter being used as a substitute medium for **long-term preservation** of paper documents.

For such collections, the core **archival description** based on the ISAD(G) standard is heavily supplemented by information specific to each medium or type of document.

1.2.2.5 Digitisation

All paper and analogue audio and video documents are digitised as the final stage of their **processing** in order to facilitate both access and **long-term preservation**.

The **digitisation** process is performed outside the system but is closely linked to the **arrangement** and **description** processes which provide sufficient information to identify the documentary materials, to control the scanner, and to identify and organise the files resulting from the **digitisation**. This information is printed on separator sheets at the item level in the form of a barcode and in clear text. This separator is used to correctly separate documentary materials, to attach the appropriate metadata to the files, to organise the files and for quality control management and tracking.

The Historical Archives currently use the following formats for long-term preservation:

- pdf/A:
- wav;
- mpeg4 avc and mpeg4 aac.

The Historical Archives also use dissemination formats such as mp3 for communication purposes. Each file is subsequently linked to the corresponding descriptive entry for direct access.

1.2.2.6 Data migration

All digitally born documents, which exist in various formats, are converted if necessary to formats suitable for **long-term preservation** and to dissemination formats.

This **data migration** is also done outside the system but with the same links to the **arrangement** and **description** processes as for the digitisation process.

Each file is linked to the corresponding descriptive entry for direct access.

*1.2.2.7 Processing of **hybrid fonds***

Most **fonds** at the Historical Archives are **hybrid fonds**, i.e. fonds that consist of paper or analogue materials and digital documents.
Generally, and for practical reasons, the **processing** of digital documents and the processing of paper documents is not conducted simultaneously, particularly if the acquisition of digital documents is accompanied by the acquisition of their descriptive data, to avoid repetition of the **description** process. Nevertheless the **fonds** is processed as an intellectually unified whole.

1.2.3 Packaging and storage

1.2.3.1 Packaging and storage of paper and analogue documents

1- Prior to the processing of the historical archives

All **acquisitions** and **accessions** arrive at the Historical Archives in various storage containers (boxes of various sizes, binders, folders, etc.). Generally speaking, all **acquisitions** are kept in their original storage containers until their processing. Each container should be identified and labelled by an **accession code** and stored in one of the Historical Archives' storage facilities.

2- After the processing of the historical archives

Each **item** of a **fonds** is identified by its **reference code**. The items are grouped and packaged in a logical order in containers suitable for **long-term preservation**. These containers are of a standardised size. Each container is identified and labelled by the **reference codes** of the first and last items it contains and stored in one of the Historical Archives' storage facilities until the fonds is transferred to the Historical Archives of the European Union in Florence.

3- Transfer to the Historical Archives of the European Union in Florence

The containers to be transferred to the Historical Archives of the European Union are packaged in larger containers and put on wooden pallets for transport. The large containers and the pallets are suitably labelled for identification of their content.

4- Storage facilities at the European Parliament

The storage facilities at the Historical Archives of the European Parliament are dispersed across several sites and rooms and are subject to modification.
The classic storage facility is a room equipped with static or mobile shelving organised in **rows** (single or double sided), **bays** and **shelves**. Specific storage facilities are used for posters, microfiches, audio and video materials.

1.2.3.2 Storage of digital and digitised documents

Digital and digitised documents are stored in virtual containers which are located in a **file repository**. This **file repository** is organised in a hierarchical structure which is equivalent to the hierarchical structure of the **archival description** to allow autonomous and direct access to the files. The container's path corresponds to the **reference code**.

1.2.4 Transfer to the Historical Archives of the European Union in Florence

The processed historical archives are deposited by the European Parliament at the European History Institute, Historical Archives of the European Union, in Florence. Each transfer is documented by a **shipping list**, including itemised details of the transfer contents for tracking.
The Historical Archives also sends the Historical Archives of the European Union a **finding aid** on each transferred fonds or part of a fonds, compiled from their archival description in XML-EAD and XML-EAC.

1.2.5 Accessing the documents and searching their descriptions

The Historical Archives provides access to the **description** of the archives and, whenever possible, to the digital or digitised documents linked to their description. It also gives advice and assistance to both internal and external researchers.
The searches may relate either to finding a particular document or a set of documents through their **archival description,** or to the provision of specific information processed from data created to describe and contextualise the historical archives.

1.2.5.1 Search by archivists in response to requests

The Historical Archives receives requests for documents and/or information from the European Parliament and from external bodies or individual users.
These requests often give rise to complex searches requiring extensive knowledge of archive fonds and the workings of the European Parliament, as well as proven expertise in using search systems. It is not unusual for requests, particularly internal ones, to be urgent.
Responses, accompanied where necessary by digital versions of the documents requested, are sent by email, whenever possible.

1.2.5.2 Direct user search

Assisted search at the Historical Archives

In the case of extremely extensive search requests, users are invited to the Historical Archives where they will be given assistance in carrying out the search by themselves. Users can choose to have the results recorded on optical media provided by the service or to store them on their own devices.

Searching via intranet

An online search interface is offered to everyone who has access to the European Parliament intranet. It offers two levels of consultation: expert and basic.

Searching via the internet

It will be necessary to set up a web interface for accessing and searching the archival descriptions and documents that conforms to the standards of the European Parliament's website, as no such interface currently exists.

1.2.5.3 Access restrictions

Not all historical archives and documentary materials at the Historical Archives are freely open to the public. **Access restrictions** can be applied both for the document itself and for its archival description. Access permissions are granted to groups of users on the 'need to know' principle. These groups can be defined either by their individual and professional profiles (mainly for archivists) or by their belonging to the service which created the documents (**office of origin**).

2 Preconditions for the solution

The solution must:

1. comply with the technical environment of the European Parliament;
2. be open and enable recovery of all data at all times. Data should not be encrypted in the system;
3. have the data management power of a client-based application and all of the access/input/output flexibility of a web-based application;
4. ensure interoperability for the communication and exchange of data with applications within or outside the European Parliament, by providing import and export functionality through the use of XML formatted files;
5. be scalable to millions of entries and millions of links to digital or digitised documents;
6. have a fully adaptable data structure;

7. support Unicode character encoding;
8. fully support multilingualism: as regards the documents, the descriptive data and the interface;
9. comply with the ISAD(G), ISAAR(CPF), EAD and EAC standards and support their evolution.

2.1 Compliance with the IT environment of the European Parliament

See Annex I.2 for a description of the European Parliament's IT environment.

Furthermore, the solution should not be based on cloud technology. The hosting of the entire solution, including its file/records repository, will be provided by European Parliament's hosting service (DG ITEC), on either physical or virtual servers, of which the exact configuration will be established in cooperation with the tenderer's technical staff. Important technical constraints related to the European Parliament's network architecture and security provisions must be applied.

It is important to note that the solution will be connected to the European Parliament's internal network, which for security reasons cannot be accessed from outside of the European Parliament's buildings.On-site interventions via a workstation in one of the European Parliament's buildings (main sites in Luxemburg, Brussels, or Strasbourg, or a European Parliament Information Office) are required for any maintenance or upgrade of the software.

The solution should be integrated to European Parliament's active directory. This feature should not control the access rights or functions of users, which should be managed through a user table.

2.2 Licence

The European Parliament must be licensed to use the system for an unlimited number of years (i.e. the entire lifetime of the system) after it has become operational. The European Parliament would prefer a global licence for the entire institution; however, should this not be possible 100 professional users (especially in Luxembourg but licences could also be issued to workstations in Brussels/Strasbourg) should be licensed to use the system during this time. There should be no limit to the number of people who can access the application as an online guest (external or internal client).

Multi-user access

The application should allow simultaneous multi-user access. When an entry is modified it should be locked for simultaneous modification. However, it should remain accessible for read only mode as well as for all search criteria.

2.3 Open system

Sustainability is a major issue for an archives management solution. Naturally, all data (descriptive data and links between data or between data and digital or digitised documents) from the Historical Archives' legacy system must be fully imported into the solution and all data (descriptive data and links between data or between data and digital or digitised documents) in the solution should be easily accessible and exportable in standard formats.
See part 2.9 and 4.1 on the transfer of existing data.

The solution should be based on a database engine and use a file repository provided by the European Parliament.

File repository

The files are stored outside of the solution in containers which are located in a file repository organised in a hierarchical structure which is equivalent to the hierarchical structure of the archival description. This allows for autonomy and for easy access to the files without reference to the archives management solution.

The option for the system to adapt to the organisation decided by the data manager to the point of taking charge of the movements of files resulting from hierarchical reclassification would be very useful, thereby eliminating an entire class of potential errors associated with manual movement. In this case all modifications made to the hierarchical classifications should reflect immediately to the file repository system.

The files located in the file repository should be located in the technical environment of the European Parliament (no cloud systems allowed).

2.4 Interoperability

The documents processed by the Historical Archives are at the end of their life cycle. This means that the solution does not need to support specific document or records management functionalities. However, the system should ensure interoperability with document and records management systems, as well as with any other application managing documents within the European Parliament, by providing occasional or continuous import/export or synchronisation with other data sources through the use of XML formats. However, in order to guarantee the integrity and uniformity of data, it should always be possible for the Historical Archives data manager to control, modify (transform) and validate the input data.

2.5 Scalability and performance

The Historical Archives currently manages over 1 400 000 descriptive entries linked to over 4 000 000 digital or digitised documents. These figures increase by an average of 10 % each year.

Uptime

The system must be robust, stable and have 99,90% or better uptime during the European Parliament's Historical Archives Unit's regular operational hours (Monday to Friday 8.30–17.45).

Response time

When users interact with the system, the system must respond immediately to user input. The solution should perform its basic operations (for professional and non-professional users) without any delay and its performance should be comparable with terms of common market standards.

The performance of the application will be validated by using performance tests (executed by the DG ITEC of the European Parliament) which are obligatory before deploying an application into production. The performance test results serve as an indication for future reference. Should the performance of the solution fall short of these figures after deployment, it will be considered as a malfunction and remedial will be required without any supplementary costs to the European Parliament.

2.6 Adaptability

Even though the core business of the European Parliament has remained unchanged for over 60 years, many substantial changes have been – and are still being – made to its working methods and this, in turn, has a significant impact on organising and describing documents related to its activities. One fundamental criterion for organising and describing documents is the possibility to describe and define the data structure and easily modify it, if necessary.

This feature should be available at data manager and/or archivist level where no server intervention is required. In other words, updating the data structure should be easily possible and the solution should offer special tools to do that rather than providing server-level IT solutions.
Such adaptability encompasses options such as:

- customisation of the description model beyond the ISAD(G) core descriptive structure, in particular by adding new elements of descriptive information (template system);
- definition and modification of pre-set description models and classification schemes;
- modification of the properties of elements of descriptive information (for example: field length or labels);
- modification of authority lists and data;
- customisation of the interfaces (theme system).

By adaptability it is equally understood that any proposed solution must correspond to the IT environment of the European Parliament. In addition, it should be customised/configured so that it corresponds to the working environment of the European Parliament. At the same time, it should be open for any future development.

2.7 Multilingualism

One important aspect and challenge is the multilingual nature of the European Parliament. The European Parliament currently uses 24 languages. Therefore, the system must support various forms of multilingualism:

- multilingualism of the documents: all documents can exist in multiple language versions. These versions should not be considered as individual documents but as language versions of the same document and should be treated accordingly. The system should manage these multiple language versions of the same document and should support the display of their different script systems;
- multilingualism of the data describing the documents. A document must be fully described at least in French and English. Some description data such as the title of a document must be fully multilingual and reflect all language versions of the document. The use of the Unicode character encoding standard is required to support this form of multilingualism. Existing descriptive data use the Unicode character encoding set. It is not desirable that all versions of multilingual data should be simultaneously displayed in an entry for the reasons of economy. An exception for this requirement is database maintenance actions, where all versions of multilingual elements could be displayed simultaneously. For the reasons of reliability, ease of input and control, a solution which creates parallel entries for each language is excluded. The indexes associated with multilingual elements should also be multilingual;
- bilingualism of the system. To comply with the European Parliament's language policy, the system must at least support bilingualism (French and English) in its entire interface (interfaces, offline and online help, system messages, etc.);
- multilingualism of search functionalities:
  - search interface, query and behaviour:

    The system should allow for search functionalities in French and in English as a minimum. Query language, i.e. the language of logical operators and textual input required of the user during searches, as well as of the lists of choices which are offered, or indexes which may be consulted as a search aid should be independent of the system language – or more specifically of the interface

language – which would allow the user to toggle between languages without having to change the interface language. During searches on multilingual data, only the value corresponding to the search language is displayed or, if selected, the value in a substitute language. During searches, the version of the index corresponding to the language selected should be displayed as a search aid; the related search criterion will accept words or root words in the same language. This should also enable the use of dictionaries of specific stop words for each language when creating indexes;

- *multilingual resource discovery and delivery:*

In addition, there is a desirable aspect of the multilingualism issue where information retrieval could support multilingual resource discovery and delivery through the use of a multilingual controlled vocabulary (e.g. Eurovoc currently used by the Historical Archives) or of on-the-fly machine translation of queries. Reaching this goal will allow users to submit queries in their native language or at least in one of the two languages used for description data, French and English, and still be able to retrieve description and documents in other languages.

2.8 Compliance with archival standards

The rules concerning the structure of archival description and the core elements of description are based on the principles set by the international standard on archival description ISAD(G). http://www.ica.org/10203/standards/isaar-cpf-international-standard-archival-authority-record-for-corporate-bodies-persons-and-families-2nd-edition.html.

The rules and core elements for the archival authorities are based on the principles set by the international standard on archival authority record for corporate bodies, persons and families ISAAR(CPF). http://www.ica.org/10203/standards/isaar-cpf-international-standard-archival-authority-record-for-corporate-bodies-persons-and-families-2nd-edition.html.

In addition, the solution must support the EAD http://www.loc.gov/ead/ and EAC http://eac.staatsbibliothek-berlin.de/ XML formats in their latest versions for import/export purposes, as well as for the publication of finding aids.

2.9 Transfer of existing data

The current system permits the export of data in three different formats, but only two make it possible to export the complete data structure: ASN1 and SGML.

Annex Data recovery contains a brief description of the structure of the main tables from which information is to be imported into the new system, with the likely number of entries that they will contain at the time of import.

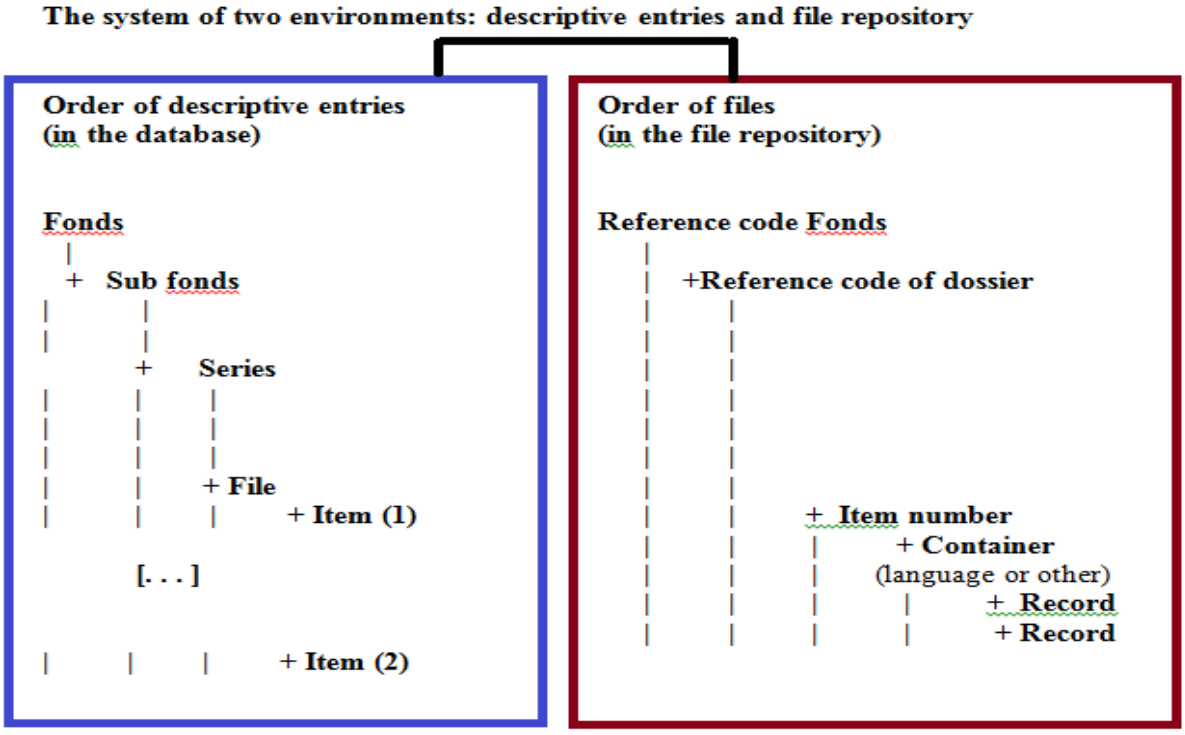
The following table provides a summary of the type of entries to be transferred to the new system as well as the estimated number of entries at the time of transfer:

Type of entry	**Estimated number**
Archival description at Fonds, Sub-fonds and Series levels	1 800
Archival description at File level	300 000
Archival description at Item level	1 100 000
Authority records for communities and individuals	5 000
'Procedure' entries	12 600
'Rules of procedure' entries	2 300
'Eurovoc Descriptor' entries	6 500
Total number of entries	**1 428 200**

On top of this, there are the addresses of over 4 million files (approximately 1.2 TB), largely associated with the archival description table, but also with the authority records for communities and individuals table. These addresses are contained in a table and shall serve to create a new link between the files and entries after they have been imported into the new system.
In the transfer of existing data from the current system into the new one, the service provider must take into account the existing links in the current database. The links can be hierarchical or horizontal by nature or they can point to another table. The links are controlled by a specific code (identifier), which identifies the table and the description entry in question.
The current database uses an internal reference number for identifying each entry to the operating system. This reference number is always associated with the table.

2.9.1.1 File repository and descriptive entries

The current system has two environments: the hierarchical system of descriptive entries and the file repository. The file repository associated with the database containing electronic images of documents uses the reference code to create the tree structure. Language versions or documents correspond to containers in which records (or files) are stored in the file repository.
In the current system, each entry with associated documents is linked to one or more entries in a special table containing the addresses of the documents' 'containers': the 'container' is a 'register' at the final level in a four-level file system from a root established in the system as the basic file address. In the current system, the names of files have no bearing: the files present in each 'container' are indicated and the system displays or reproduces them on request.



2.9.1.2 Key characteristics:

- The order of files in the file repository corresponds to the order of descriptive entries in the database.
- The database uses a special table, which operates as a 'messenger' between the database and the file repository.

- Both entities are independent from each other, which gives a lot of flexibility for the system maintenance: the descriptive entries or records in the file repository can be updated, corrected or imported without the need of doing both environments in parallel.

2.9.1.3 User groups

In the current database, users are defined in a table and linked to groups. Permissions, whether for access to different functions of the software or for access to entries and documents, are attributed to groups. Without prejudging the way in which the future system will manage the various access permissions, the current user list shall be recovered because of the link between the entries and the user who created or last modified them.

3 Requirements

The requirements described in this part should be interpreted as the general functional requirements for the solution describing its functionalities from a user perspective. They detail the capabilities and functions that the solution must be capable of performing. The focus is on what the solution must do; details on how the solution will operate will be defined with the tenderer in the functional specifications during phase 1 of the project.
Desirable requirements are in italic.

3.1 Data requirements

These general requirements apply to all functional areas of the solution, unless otherwise specified in the specific sections dedicated to each functional area.

3.1.1 Description of data

The solution should support various forms of data as described below:

- **Text data**, which can contain forced carriage returns and must allow for more than 2 500 characters;
- **Numeric data**;
- **Alphanumeric data**;
- **Dates** which must be stored in ISO format (ISO 8601 *Data elements and interchange formats – Information interchange – Representation of dates and times),* in particular calendar dates and intervals. For input, and especially for searches, other formats (e.g. dd/mm/yyyy or mm/dd/yyyy; an exhaustive list of supported formats will be defined in the functional specifications) should also be accepted, in addition to the ISO format;
- **Authority controlled data:**
    - **Controlled by a list or by controlled vocabulary:** these are data for which only pre-defined values from a list or a controlled vocabulary can be entered. There are two types of lists and controlled vocabulary: simple and coded. In the second case, each value is represented by a code which is stored while the value is displayed. This option is useful for the purposes of multilingualism with a single code corresponding to a value in each of the languages of the system. The value displayed will correspond to the interface/search language chosen by the user;
    - **Controlled by authority record:** this type of data stores the qualified link to a value contained in a specific element of an authority record. This is the value that is displayed. Furthermore the value displayed must consist of an active link to the entry from which it has come. If the element in the authority record is multilingual, the value corresponding to the interface/search language must be displayed.

3.1.2 Data input

3.1.2.1 Input forms

The solution should propose input forms adapted to the specifics of the data from each functional area as is described in further detail in the dedicated sections of this document.
Data input should be made easier by having the option to use pre-defined and custom-built forms for each case. This should be available for the initial configuration of the solution, and also at a later stage given that new cases could occur at any time. Such new cases may require the adaptation of an existing form or the creation of a new one.
The data manager should be able to perform this function. This operation should be possible using tools available in the application and therefore no IT development should be required.

3.1.2.2 Form selection

The solution should propose the selection of an input form from a list, automatic form selection and dynamic adaptation of the form as appropriate.
Automatic form selection and dynamic adaptation of the form are based on specific variables. For example, the specific form for the archival description of a sub-fonds is called up from the archival description of the fonds. The elements of the description of an authority record adapt dynamically following specification of the quality of the authority (e.g. person or corporate body).

3.1.2.3 Duplication and copy/paste

The solution must allow for the duplication of entries. When duplicating a form the system should enable the selection or de-selection of fields to be copied.
It must also be possible to copy and paste data whether from other entries or from third-party applications.

3.1.2.4 Help with input

Help with input means any technique making it possible to speed up input while avoiding errors as far as possible.

Input of authority controlled data

As regards the input of authority-controlled data the solution should display a drop-down list and/or allow searches for the appropriate entry in the authority record, list or controlled vocabulary as appropriate.
The drop down list should adapt dynamically upon completion of the first letters of the terms.
Only values forming part of the list should be accepted for the field in question and several selections could be made.

Input masks

Input masks are useful for data that must conform to a specific format, such as dates. However the calendar option is to be avoided in this case, because it is not practical for historical archives.

Spellchecker

Spellcheckers are useful for unrestricted text data. If the solution can offer this function, it must be available in all of the working languages of the solution (EN, FR).

3.1.2.5 Input checks

Entry checks aim to ensure the quality of data.

Checking by authority control

See 3.1.2.4 above on the general behaviour of authority-controlled data input.

Only values forming part of the authority record, list or controlled vocabulary should be accepted for the element in question.
In addition, the following principles should be respected:

- The consistency and integrity of authority controlled data must be ensured continually;
- The value displayed must consist of an active link to the authority record from which it has been imported;
- It should not be possible to delete the original value as long as there are records of same or other tables that are associated with it.

Checking of format

This entails ensuring that the data in a specific format comply with this format.

Plausibility check

This check should be used particularly for dates, by ensuring that a valid date is being used. Other more refined checks could prove useful if, for an entry, they can take into account whether the data are consistent with each other.

Mandatory elements

The solution should not allow an entry to be recorded if there is no value attached to a mandatory element, without prejudice to any other checks that may apply to the values displayed in these elements. The solution should clearly indicate which elements are mandatory and display a 'missing message' or points to the missing mandatory elements upon validation.
It should be possible:
- to declare certain elements to be mandatory or not, depending on the value of another element of the same entry;
- to declare certain elements to be mandatory or not, depending on the status of the entry.

3.1.3 Saving of data

Data should only be recorded when the user gives the save command. Temporary recording should also be offered.

3.1.3.1 Status of entry

It must be possible to assign statuses (e.g. in progress, pending validation, validated etc.) to an entry.

3.1.3.2 Validation

Certain checks could be carried out during completion of the form, while others, such as on the presence of mandatory data, would only be implemented when the entry is registered.
Upon validation the solution should carry data integrity checks, verifying the unique nature of the entry. For example verification that the reference code entered does not yet exist may serve as sufficient validation for archival description entries.

3.1.3.3 Immediate availability

Immediately after the entered data are validated, they should be indexed and available for all actions where they may be required – e.g. search, display, print and extraction – with regard to descriptive data, as well as for control and availability actions through the authority tables.

3.1.3.4 Closing of entries

The closing of entries is understood as a voluntary action on the part of the archivist concerned – for example, a senior archivist – who finally validates an entry.
The concept of closing entries is only really of interest if it gives rise to additional checks such as that mentioned in relation to mandatory fields. The solution should also provide a mechanism for closing multiple entries by batch.

3.1.4 Modification of data

As a general requirement for all type of modification or deletion of data, confirmation queries and messages should be displayed as part of the modification or deletion process.

3.1.4.1 Individual modification of an entry

The same form that is used for data input should be available for use in modifying the entry. For the purposes of data integrity, it should only be possible to modify elements entered manually; data inherited as well as those completed automatically, should not be modifiable in this case.
During modification, the entry should not be accessible to other users for modification. On the other hand, it should remain accessible for search, display, etc.
An entry should always be available for modification. In other words, it should be possible in all circumstances, to move directly from displaying an entry to modifying it, provided of course that a suitable user interface is used and that the operator is authorised to do so.
Upon validation of the modification, the entry should be indexed and available for all actions where it may be required.

3.1.4.2 Batch modification

The batch of entries to be modified will be the result of a search, possibly followed by a selection from the list of results; if no selection is made, the full list should be taken into account.
Batch modification entails certain uniformity across the entries selected, but no restriction should be imposed.
A form should offer a list of fields that can be modified in line with the previous section; in the case of a set of non-uniform entries, only common fields should be proposed.
The modification options for a batch are as follows:

- substitution of one character string for another, with the option of using generic characters (wildcards);
- substitution of any element content by another;
- complete deletion of an element;
- detection of a specific value in a multiple-value element;
- addition of a value to a multiple-value element;
- addition of an occurrence to a repeatable element;
- addition of an occurrence to a repeatable block of elements.

In addition, the following requirement must be available:

- When making global modifications, checks used during data input should be active;
- A ‘log’ file should be produced to detail the modifications;
- Upon validation of the batch modifications, the entries should be immediately indexed and made available for all actions where they may be required.

As a desirable option, it should be possible to undo global changes, provided that the modified entries have not been subject to other modifications.

3.1.4.3 Hierarchical reclassification of descriptive entries

By hierarchical reclassification of an archival description entry it is meant a change in this entry's hierarchical superior, while still retaining its level at all times. This change is repeated, at least through the reference code, across all entries at a lower level in the same branch.

Batch reclassification

It should be possible to reclassify a batch of entries pre-selected from a list of results of a search, provided they are of the same level.
Hierarchical reclassification is a more complex procedure than by simply changing the value of a field for the following reasons:

- it entails a change in the reference code that must be transferred to the entries at lower levels;
- any inherited data sourced from the immediate superior should be modified as a result;
- the indices for all fields modified in all entries have to be updated.

Repercussion on attached documents

The address of document files attached to the entry should be changed.
The electronic files in the file repository should be moved to the new address, in order to ensure the consistency of the system.

3.1.4.4 Deletion of entries

One essential condition for an entry to be deleted is that it is not the target of a link, hierarchical or otherwise.
Similarly, if an entry has documents attached to it, the link between the documents and the entry should be removed prior to it being deleted. Documents should either be deleted or attached to another entry.
Deleting entries by batch after pre-selection from a list of search results should be possible while complying with the same condition at all times.
After deletion of an entry, the indices should be updated immediately.
As a desirable option, it should be possible to have a "roll-back" functionality (e.g. changing the status of the entries to "deleted" and removing them from the indices but without erasing them immediately from the database. Permanent deletion of these entries from the database may be triggered later on by the data manager.).

3.2 Holdings management

3.2.1 Acquisition management

3.2.1.1 Workflow

The service of origin submits a proposal to the Historical Archives, with a description of what it intends to transfer.
The Historical Archives analyses the proposal and decides whether to accept or refuse the transfer. It then informs the service of its decision.
If the transfer is accepted, the service of origin completes a form - the transfer list - describing the transfer as accurately as possible. This form, which is accessible online on the Historical Archives intranet site, is signed and forwarded to the Historical Archives.
The Historical Archives receives the transferred documents (in paper or electronic form), checks and validates (signes) the transfer list.
Once the transfer list has been validated, an acquisition entry is created in the Historical Archives database which captures the data on the transfer list and which will be supplemented by the archivists.
The acquisition may or may not be subject to subsequent archival processing and if processed, this may be done in whole or in part. The resulting descriptive entries should be linked to the acquisition entry.

3.2.1.2 Requirements

The solution must provide functionalities for describing and managing the originating services and the acquisitions and for producing reports.
As a desirable option, the solution could support the workflow for the submission/validation of acquisitions. At the very least, the contact person in the service of origin should be informed of the acceptance of the transfer in an email including the URL (which must be a single-use URL) of the signed transfer list related to this proposal.

Originating services authority records

The solution must provide functionalities for the creation and management of originating services authority records, designed to identify the services that put forward acquisition proposals. The structure of these records should comply with the ISAAR(CPF) standard. The solution should be launched with the current administrative organisation chart of the European Parliament.

Acquisition description

The acquisition description should comply with the ISAD(G) standard and consist at least of the elements (One possible layout for the various elements has been suggested but alternate options could be suggested):

The hierarchical structure of the acquisition description is simple and consists of two levels:

- Acquisition
    - Component

Description at acquisition level:

1. Identity statement, context and content
    - Accession code (should be given only upon validation of the transfer list);
    - Accession date (*and accession workflow dates*);
    - Source of acquisition (name and address of a contact person);
    - Type of acquisition (accession or deposit);
    - Originating service;
    - Title;
    - Dates covered;
    - Type of resource of the acquisition;
    - Extent of the acquisition (in units suitable for the type of resource of the accession).
2. Management information
    - Access restrictions and permissions;
    - Storage location (acquired from location management functionality);
    - Processing notes;
    - Status of the acquisition;
    - External document references (i.e. a link to the original transfer list).

Description at component level

1. Identity statement, context and content
    - Accession code at container level;
    - Dates covered;
    - Title;
    - Extent and type of container.
2. Management information
    - Access restrictions and permissions;
    - Storage location (acquired from Location management functionality).

Acquisition register

The acquisition descriptions feed an acquisition register. The acquisition register serves as proof of the transfers to the Historical Archives and establishes the Historical Archives' legal rights.

The acquisition register contains a brief summary of each acquisition, in chronologic order, and includes the following information:

- Date of acquisition;
- Originating service;
- Title;
- Dates covered;

- Extent of the acquisition;
- Acquisition code;
- Status of the acquisition.

Modification and deletion of acquisition description

The acquisition description should be modified or deleted in whole or in part.
Deletion of an acquisition must only affect its status, and not its entry in the acquisition register.

Processing of acquisitions

An acquisition, or part of an acquisition, may be linked to an arrangement or an archival description upon which the status of the acquisition should be modified (e.g. processed) and the acquisition should be removed from the storage facilities.

Index, search and reports

Each acquisition description, depending on its status, should be suitably indexed in order to be searched using various criteria and to permit statistical extractions, with the possibility for arithmetic operations on the value of certain elements.
Reports based upon the acquisition description include in particular:

- acknowledgement of receipt which would be sent by email to the contact person;
- statistics;
- labels for the identification of each component of the acquisition.

Relations

Besides the links to authority records and to documents, the solution should also allow linking acquisition descriptions to be linked to arrangement and archival descriptions.

3.2.2 Location management

3.2.2.1 Description requirements

Storage facilities organisation and description

The solution should provide a description of the Historical Archives' storage facilities in a multilevel hierarchical description.
The classic storage facility is a room equipped with static or mobile shelving organized in **rows** (single or double sided), **bays** and **shelves**. Specific storage facilities are used for posters, microfiches, audio and video materials. The hierarchical description of these classic storage facilities is done as following:

- City
- Building
- Room
- Row
- Bay
- Shelf

City, building and room are identified by name. Rows, bays and shelves are identified by numbers. For each row, the numbering of the lower levels of storage is done using the following diagram:

	Bay 1	**Bay 2**	**Bay 3**		***Bay x***
Shelf 1				…	
Shelf 2				…	
Shelf 3				…	
Shelf 4				…	
	…	…	…		…
Shelf n				…	

The order of completion is by order of the shelf in the bay, and then by order of the bay in the row, and lastly by number of the row: row 1, bay 1, shelf 1 → row 1, bay 1, shelf 2 → row 1, bay 1, shelf 3 → etc. → row 1, bay 1, shelf *n* → row 1, bay 2, shelf 1, and so on.
The first entry at each level should be created from the entry for the level immediately above; the rest are created by duplication.
The solution should allow for the easy modification of all components of the description of the storage facilities (levels, label of levels etc.) and for the description of other types of storage facilities (e.g. map cabinet, virtual storage for electronic documents, temporary location etc.).

Location address

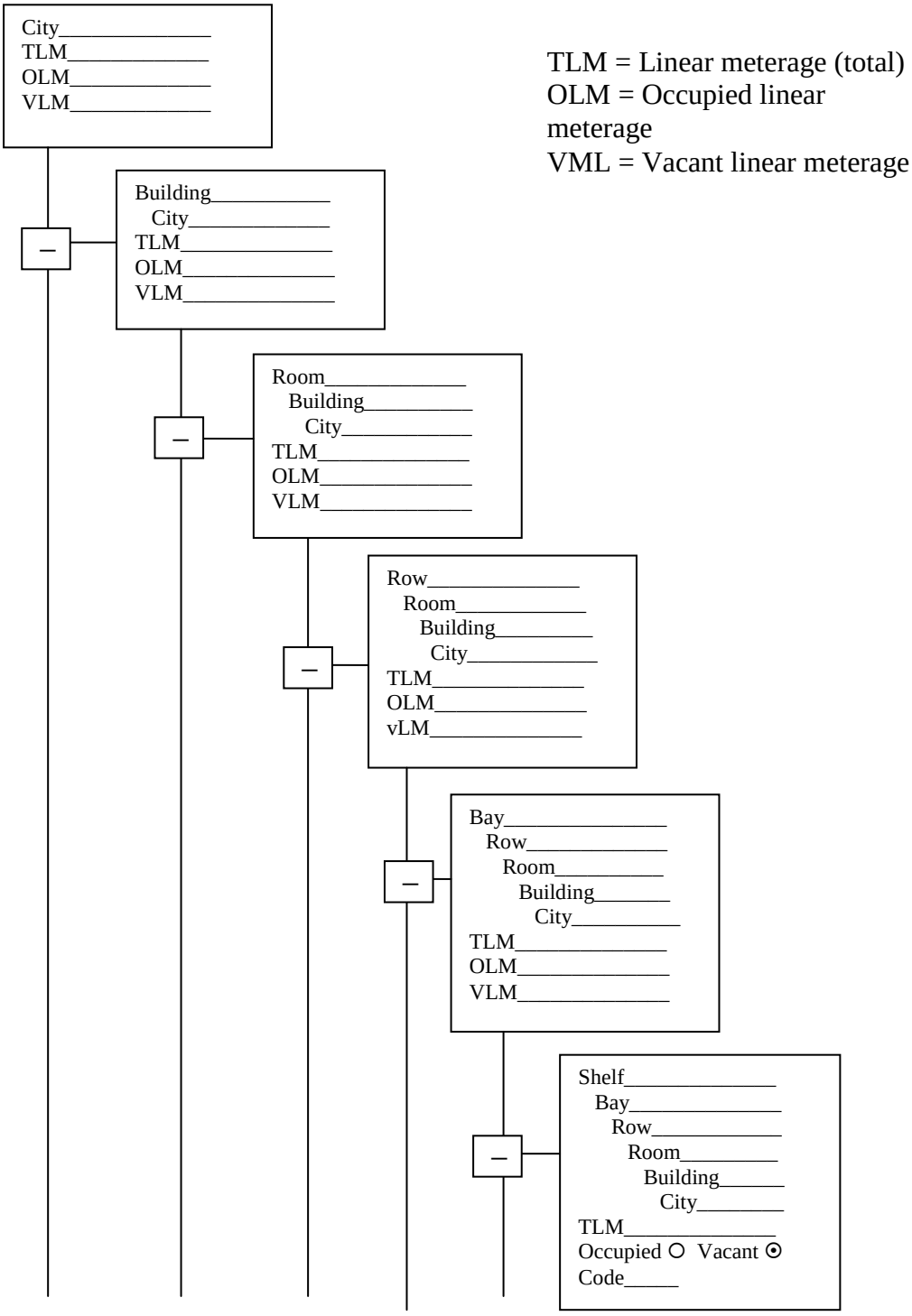
The location address should be expressed by alphanumeric coordinate sets: e.g. Building-Room-Row-Bay-Shelf. The composition of the coordinate set should be changeable at data-manager level.

Meterage

The data relating to meterage are only entered at the shelf level; for higher levels, they should be calculated by the solution and added automatically. At shelf level, meterage is simply its length in linear metres. For each shelf in a bay, its length is added to the meterage for the bay.
The occupied meterage is calculated at each level by addition from the immediate lower level, starting from the shelf level. The vacant meterage is calculated by subtraction (the difference between total meterage and occupied meterage).

Display

As a desirable option, the solution should graphically (visually) display the whole structure of the storage facilities and their status (occupied, vacant).



Example of a graphical display of the hierarchical structure of the storage facilities and their status.

Containers

The solution should allow for describing containers (type and length) as an authority record used in describing the component of an acquisition and for packaging intellectual components of a processed fonds in physical components suitable for location.

3.2.2.2 Location requirements

Location type

The solution should support continuous and dispersed location.
For acquisitions, location should be done at container level. For processed fonds, the solution should provide tools for packaging intellectual components in containers and locate them.

Location workflow

Location should be done by assigning an address to a container, manually or by batch after having selected the containers to be located and a vacant space or interval. *As a desirable option, the solution should propose vacant space for locating containers on demand.*

Relocation

Provision needs to be made for a relocation procedure (manual and batch relocation), as this will be necessary during transfers to the Historical Archives of the European Union in Florence or during possible changes of premises.

Relations

In the acquisition and archival description entries, the location element should display location details at acquisition and fonds level as following:
Address of the first container – address of the last container
In case of dispersed location, the location details above should be displayed for each continuous part.

Location:

From:	LUX KAD 036 04 01	To:	LUX KAD 036 10 08
From:	LUX KAD 041 01 01	To:	LUX KAD 042 05 03

Note: The identification of the shelves is given by way of example, without prejudging the final appearance that it could take. Additional lines shall only be displayed where necessary.

The start and the end of the series of continuous shelves according to the order of completion described above should be automatically calculated by the system.
At component level the location element should display the address of the container.

Reports

Reports based upon location management include in particular:

- Statistics on storage (total meterage, meterage by city, building or room, occupied or vacant meterage etc.);
- "**Récolement**" of the holdings (inventory and analysis of the holdings).

3.2.3 Access rights management

This functionality aims to:
- assign access restrictions and permissions in accordance with the principles described in 1.2.5.3;
- manage access accordingly.

3.2.3.1 Rules

Access rights management applies to online access to description and to documents in accordance with the following rules:

- Access restrictions and permissions are applied to groups of users. The definition of groups for access rights management should be independent of users' management;
- Access restrictions and permissions are applied for both the document itself and for its description. In this context, should access to the description be denied, access to the related document(s) is also denied;
- An identified user belongs to a group and can use the access permissions granted to that group; an unidentified user also belongs to a group that will have minimum access permissions.
- Access is managed by the data manager at the Historical Archives.

3.2.3.2 Requirements

Access rules authority records

Access rules form a specific set of authority records. For each set of documents with similar characteristics in terms of access restrictions, an entry will be made in the access rules authority records. Each entry must contain:

- the access restriction;
- a list of authorised groups – if access is restricted- with the period of restriction for each;
- an indication as regards access to the documents attached to the entry;
- the documentary reference to the corresponding regulation, *possibly with a link to the document.*

Access rights elements in the descriptive entries

Access rights elements should be present in both acquisition description and archival description entries:

- a link to the access rule applied, displaying the name of the access rule
- by inheritance from the access rule:
    - Status of the description (public or restricted);
    - Status of the documents attached to the description where appropriate (public or restricted);
    - Authorised groups: each authorised group will have a start date from which it will be granted access; this date shall be calculated, for the descriptive entry, by adding the restriction period to a reference date contained in the entry affected by the access restriction – for example, the date of the document;
- *Individual permission:*
    - *Name of the person;*
    - *Address;*
    - *Date of permission.*

The data contained in the access rules authority records are copied into the related description to enable the filtering of entries and documents during a search.

NB: Even if it is possible to arrive at the same result by other means, the explicit copying of data has the advantage that an archivist who uses his or her permissions during a search for an external requester will be able to visually flag restricted access entries and documents.

Modification of access rights

Modification of access rights includes:

- modification in the description entry by choosing another access rule (manual or batch modification);
- modification of the specifics of the access rule in the authority records set with the immediate update of all related description entries.

3.3 Hierarchical structure

Note: This point applies to both the arrangement and the archival description functionalities.

The hierarchical structure used for organising the archives follows four principles recommended by the ISAD(G) standard:

- Description should be provided from the general to the specific: at the highest level the archivist should provide information which pertains to the fonds as a whole; descriptions at lower levels should give information specific to that level. The end-result should be a hierarchical description which represents the relationships within the fonds;
- The information provided should be relevant to the level of description: the archivist should provide information which relates to the level of description (e.g. description of the administrative process from which a series of documents arose would be included in the description of that series and not at the highest level nor at the lowest one);
- Descriptions should be linked: the purpose of linking descriptions, or expressing the level of description, is to allow users to determine the context of an item within the fonds as a whole;
- Information should not be repeated: by providing information relevant to subordinate levels of description at the highest level possible the archivist can avoid redundant description.

These principles imply that:

- All archival descriptions are linked following the hierarchical structure.
- Some information is inherited:
    - From the lower levels for example:
      File – Start date: 19620510 End date: 19650125
      Item 1 – Start date: 19620510 End date: 19630418
      Item 2 – Start date: 19640807 End date: 19641014
      Item 3 – Start date: 19641121 End date: 19650125
    - From the higher level. Example:
      Fonds – Reference code: PE0
      Sub-fonds – Reference code: PE0 AP

3.4 Arrangement

3.4.1 Workflow

The senior archivist creates an arrangement project by defining which acquisitions or parts of acquisition would be processed and assigns archivists to the project. Management of the project (in particular as regards the assignment of archivists) could evolve and be modified over the course of the entire project.

When processing digital born documents, the solution should allow for the documents to be displayed alongside the description forms.

The archivists briefly describe the archives and dynamically define the filing plan or use a pre-defined classification scheme for arrangement of the archives in a hierarchical structure. Throughout the arrangement process the archivists can navigate in a graphical display of the hierarchical structure, which can be used to create levels and their associated descriptions, modify the hierarchical structure or modify the brief description of the archives and create new ones.

When processing digital-born documents, the archivists link the brief description to the related documents.

The arrangement project is submitted to the senior archivist for validation.

3.4.2 Requirements

Arrangement description and organisation

The brief description provided during the arrangement process should comply with the ISAD(G) standard and consist at least of the following elements:

- originating service;
- title;
- start date and end date.

Hierarchical structure

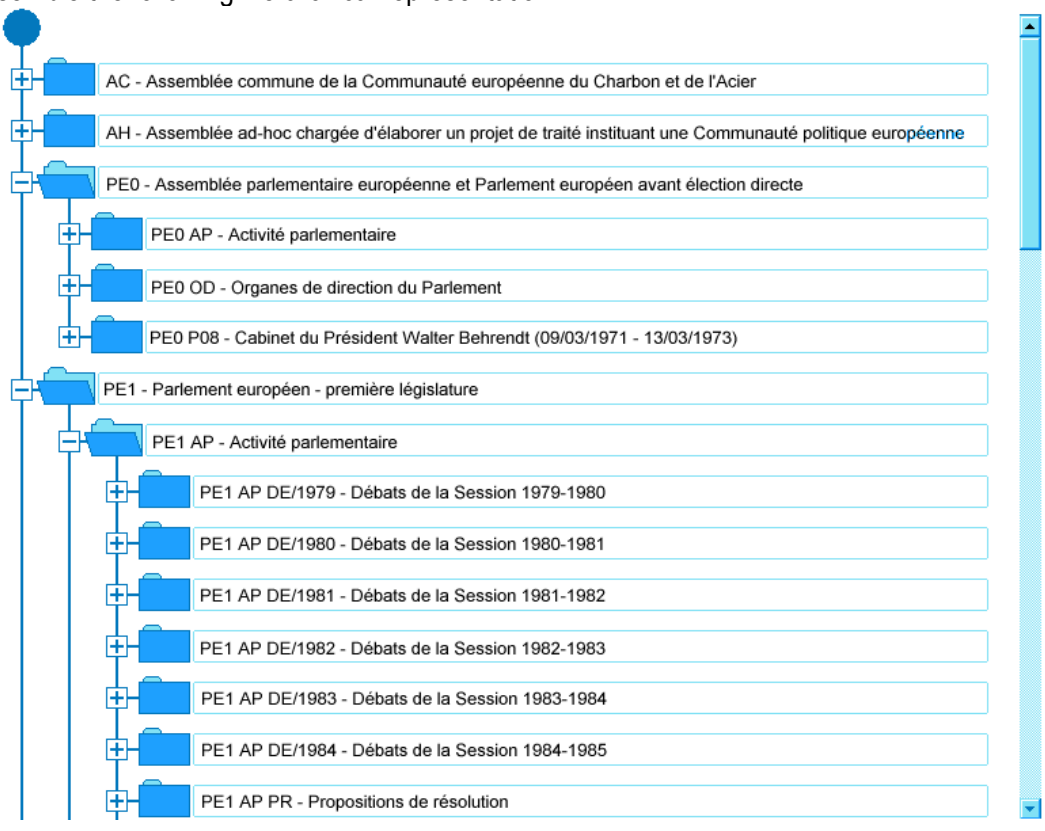
Arrangement can occur at fonds level or at a lower level providing that the fonds level already exist.
During the arrangement process the archivist should be able to define the appropriate hierarchical structure for organising the archives (see below the hierarchical structure display).

Use of pre-defined hierarchical structures (classification scheme)

The solution should allow for pre-defined and custom-built classification schemes to be used.
The creation of such hierarchical structure templates should be done at data manager level and should be possible using tools available that are in the solution and therefore no IT development should be required.
Such classification schemes consist of pre-defined descriptions with basic information (e.g. title) organised in a hierarchical structure. When applied to an arrangement project, the classification scheme should be modified when necessary.

Hierarchical display

During the arrangement process, the description form should always be complemented with a hierarchical display of the description structure and all of its component parts. Such a display could resemble the following hierarchical representation:



There are several key properties / features required in this display:

- the hierarchy itself is not limited by depth or breadth;
- the component in the hierarchy corresponding to the component displayed in the description form will be highlighted;
- the content displayed for all level nodes should be taken from: (1) the title element and (2) the dates element of the corresponding description;
- nodes containing components should be represented differently to nodes not containing components (e.g. a folder for the former and a bullet for the latter);
- it should be possible for all nodes containing components to be expanded to show their components or contracted to conceal their components. An open node should be represented differently to a closed one (e.g. an open or closed folder);
- indention should be used to represent parent-child subordinate relationships;
- levels may be added or removed by using simple commands;
- the hierarchy may be modified using a drag-and-drop process:
  - a component (and all components contained therein) may be moved to another position among its sibling components (i.e. a different sequence position within same parent context);
  - a component (and all components contained therein) may be moved from one context to another (i.e. the same level but a different parent context);
  - a component (and all components contained therein) may be promoted to a higher level in the hierarchy (i.e. elevated one or more levels higher in the hierarchy);
  - a component (and all components contained therein) may be demoted to a lower level in the hierarchy (i.e. moved one or more levels lower in the hierarchy).

Relations

Besides the hierarchical links, the brief description should contain links to authority records for the originating service, and to documents when processing digital-born documents.

Validation

Upon validation, the resulting hierarchical structure should be frozen, allowing for the completion of the archival description at all levels.
The senior archivist should state whether the arrangement form a new fonds or whether it should be linked to an existing fonds, sub-fonds or series of which it would form a new branch. The reference code should then be automatically created for all existing hierarchical levels and the separator sheets for digitisation generated.

Reports

Reports based upon the arrangement functionality include in particular:

- Statistics (number of arrangement projects, meterage or extent of archives arranged, etc.);
- The separator sheet for digitisation: A4 size page which contains coded identification of the document (e.g. reference code) both in a barcode form for managing the scanner and in plain text.

3.5 Archival description

3.5.1 Workflow

An archival description project follows an arrangement project or can be directly created by a senior archivist by defining which acquisitions or part of acquisitions will be processed and assigning archivists to the project. Management of the project (assigned archivist in particular) could evolve and be modified during the entire project.

When processing digital-born documents, the solution should allow for the documents to be displayed alongside the description forms.
The archivists describe the archives organised following a pre-defined classification scheme or the hierarchical structure of description resulting from the arrangement process, by completing the appropriate input form. The input form used for the description depends:

1. on the hierarchical level of the description;
2. on the type of document being processed.

The archival description is submitted to the senior archivist for validation.

3.5.2 Requirements

Archival description

The archival description must comply with the ISAD(G) standard and allow for flexibility in particular by adding new elements of descriptive information, defining which element are mandatory and removing non-mandatory ones.
The key structural elements of an archival description, as prescribed by the ISAD(G) standard, are as follows:

Identity statement area
3.1.1 Reference code(s)
3.1.2 Title
3.1.3 Date(s)
3.1.4 Level of Description
3.1.5 Extent and medium of the unit of description (quantity, bulk or size)

Context area
3.2.1 Name of Creator(s)
3.2.2 Administrative/Biographical history
3.2.3 Archival History
3.2.4 Immediate sources of acquisition or transfer

Content and structure area
3.3.1 Scope and content
3.3.2 Appraisal, destruction and scheduling information
3.3.3 Accruals
3.3.4 System of Arrangement

Conditions of access and use area
3.4.1 Conditions governing access
3.4.2 Conditions governing reproduction
3.4.3 Languages/scripts of material
3.4.4 Physical characteristics and technical requirements
3.4.5 Finding aids

Allied materials area
3.5.1 Existence and location of originals
3.5.2 Existence and location of copies
3.5.3 Related units of description
3.5.4 Publication note

Notes area
3.6.1 Note

Description control area
3.7.1 Archivist's note
3.7.2 Rules or conventions
3.7.3 Date(s) of descriptions

Elements 3.1.1 to 3.1.4 are mandatory. Depending upon the nature and the type of the documents being described, some other elements may be used.

Multiple-value elements – Repeatable elements

The need to have multiple-value elements or repeatable elements arises when components of the same type, of a non-predefined number, form part of the archival description. This is the case, for example, for authors of a parliamentary document. In the description of this type of document there are

two possibilities: a field in which all authors can be entered with separators between the identifiers, or an 'Author' field that can be repeated as many times as there are authors.
Example:
Multiple-value field: *Martin Schultz§Daniel Cohn-Bendit§Roger Helmer*
Repeatable field:

Martin Schultz
Daniel Cohn-Bendit
Roger Helmer

Multiple-value and repeatable elements may apply to any of the element described above and to any type of data as described in part 3.1.1. The number of instances can be quite high, with 150 being an acceptable limit.

Groups of elements

In order to better structure and present the archival description input form and display, it must be possible to group elements into blocks at different levels, following the ISAD(G) structure. It must also be possible to display and print the labels of these groups.

Repeatable blocks

A repeatable block is a group of elements that can be repeated on request as often as required.

Archival description templates

The solution should allow for pre-defined archival description templates to be used for input forms. Such templates should be selected by the archivist from a list or called up by entering a specific value for an element.
Creation and modification of these templates should be done at data manager level using tools from the solution.

Hierarchical structure

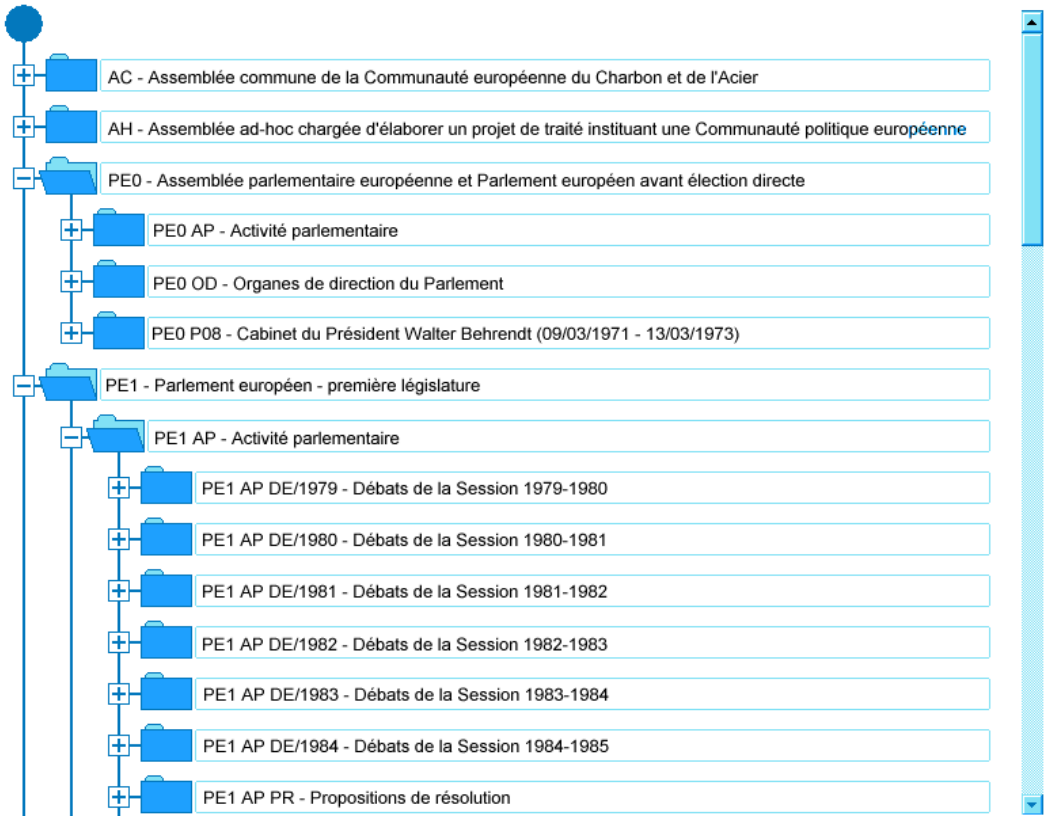
Archival description can occur at fonds level or at a lower level providing that the fonds level already exists.

Use of pre-defined hierarchical structures (classification scheme)

The solution should allow for pre-defined and custom-built classification schemes to be used.
The creation of such hierarchical structure templates should be done at data manager level and should be possible using tools available in the solution and therefore no IT development should be required.
Such classification schemes consist of pre-defined descriptions with basic information (e.g. title) organised in a hierarchical structure.

Hierarchical display

During the archival description process, the description form should always be complemented with a hierarchical display of the description structure and all of its component parts. Such a display might resemble the following hierarchical representation:



There are several key properties / features required in this display:

- the hierarchy itself is not limited by depth or breadth;
- the component in the hierarchy corresponding to the component displayed in the description form will be highlighted;
- the content displayed for all level nodes should be taken from: (1) The reference code and (2) the title element;
- nodes containing components should be represented differently to nodes not containing components (e.g. a folder for the former and a bullet for the latter);
- it should be possible for all nodes containing components to be expanded to show their components or contracted to conceal their components. An open node should be represented differently to a closed one (e.g. an open or closed folder);
- indention should be used to represent parent-child subordinate relationships;
- levels may be added by using simple commands;
- the hierarchy may be modified using a drag-and-drop process:
    - a component (and all components contained therein) may be moved to another position among its sibling components (i.e. a different sequence position within same parent context);
    - a component (and all components contained therein) may be moved from one context to another (i.e. the same level but a different parent context).

Relations

Besides the hierarchical links, the archival description should contain links to other archival descriptions, authority records and documents.

Validation

The archival description should be validated by the senior archivist. Upon validation, the description units should be grouped in containers to allow for their location in the storage facilities.

Index, search and reports

Each archival description should be suitably indexed in order to be searched using various criteria and to permit statistical extractions, with the possibility for arithmetic operations on the value of certain elements.

Reports based upon the archival description process include in particular:

- statistics (number of fonds processed, meterage or extent of archives processed, etc.);
- finding aids;
- transfer lists for the Historical Archives of the European Union in Florence.

3.6 Authority control

The Historical Archives maintains authority records, based on the ISAAR(CPF) standard for corporate bodies, persons and families, but also based on internal and external authority files (such as the Rules of Procedure of the European Parliament), lists (ISO codes for names of languages) or controlled vocabularies.

3.6.1 Thesaurus

The solution should allow for the use of multilingual - at least bilingual French and English - thesauri. The Historical Archives uses the EUROVOC thesaurus, and a thesaurus derived from EUROVOC which is managed by the European Parliament and the Publications Office of the European Union. A thesaurus maintenance system is not required, as maintenance is carried out independently of the solution.

EUROVOC is available in SKOS/RDF and XML formats.

3.6.2 Authority records

The Historical Archives maintain several authority records. The data manager should be able to create new authority records where necessary, define their data structure and easily modify it.

Authority records for corporate bodies, persons and families.

These authority records are based upon the ISAAR(CPF) standard.

The key structural elements of the ISAAR(CPF) standard are:

IDENTITY AREA

Type of entity
Authorized form(s) of name
Parallel forms of name
Standardized forms of name according to other rules
Other forms of name
Identifiers for corporate bodies

DESCRIPTION AREA

Dates of existence
History
Places
Legal status
Functions, occupations and activities
Mandates/Sources of authority
Internal structures/Genealogy
General context

RELATIONSHIPS AREA

Names/Identifiers of related corporate bodies, persons or families
Category of relationship
Description of relationship
Dates of the relationship

CONTROL AREA

Authority record identifier
Institution identifiers
Rules and/or conventions
Status
Level of detail
Dates of creation, revision or deletion
Languages and scripts
Sources
Maintenance notes

The solution should provide the possibility to input these elements in a flexible manner. Some of the elements should be declared as mandatory for certain types of records, but not for all, and it should be possible to define and add new elements or to remove others.

Rules of Procedure

This authority record should contain bilingual (French and English) version references to the Rules of Procedure of the European Parliament dating to the first set of rules.

Procedure record

Each entry in the procedure record contains the background for a legislative procedure, which may be spread over several parliamentary terms. This background takes the form of:

- a list of external documents and their role in the procedure;
- a text summarising events and documents in the procedure;
- the number of the legislative act adopted

3.6.3 Authority lists

Certain authority lists are subject to manual entry, while others are created by copying data from electronic documents, such as the ISO lists of languages and countries. The data manager should retain both options. The solution should enable data importation from external sources. However, for the purpose of the coherency of data, the data manager should always be able to control the data and validate it before importation.

3.7 Indices

3.7.1 Types of Index

The solution should suggest different types of index making it possible, for example, to index the content of an element or sub-element on a word-by-word basis or as a single-character string. The date indices should contain dates in the ISO yyyymmdd format. Text elements are to be indexed separately; however there may be an index that groups a certain number of them, and possibly all of them.

3.7.2 Requirements

Option for data manager to define indices

The software should enable the data manager to create new indices or redefine existing ones.

Option of filtering entries prior to indexing

The option of indexing only certain entries by applying a filter before building the index would be useful, offering, for example, greater flexibility in managing access to documents and confidential information.

Immediate updating

- In the case of manual entry or modification of an entry, all associated indices should be updated immediately after the new entry or the modified entry has been saved. The same applies to modifications made by a single command across a set of entries;
- In the case of batch data import or modification, the import procedure should enable the immediate update of the indices. This will also be the case if the solution allows for batch entry to be used for the addition of data or substitution of existing entries.

Re-indexing

If indexing fails, regardless of the cause, the solution should permit the complete re-indexing of each table. The data manager should be able to perform this function (no server-level intervention should be required).

Exporting of indices

It is often useful, for the purposes of checking, obtaining statistics or in other cases, to be able to export the entire index, including the number of instances of each entry, to an office tool. The data manager should be able to perform this function (no server-level intervention is required).

Consultation of indices from search forms

It should be possible to consult each index, regardless of the number of entries, using a search form.

Index number and length

The information stored in the various (description or authority) tables is subject to searches using quite a high number of criteria. The software should not have practical restrictions on the number or length of indices or search criteria that can be used.

One index covering several elements

It is occasionally necessary to associate information from several elements in a single index. For example, a 'subject' index that takes into account titles, descriptors and notes.

Several indices for a single element

It is desirable that the solution would allow multiple indices of the same type or different types. For example, an element containing the name of a person may be indexed word-by-word in one index, and all together in another.

3.8 Import and export

3.8.1 Import of entries requirements

In order to facilitate the acquisition of data (archival description, authority records), it is important that the solution would enable an occasional or continuous import/export and eventual synchronisation with other data sources from the European Parliament or external service providers, which could be either file- or table-based systems.
Before data sourced from other European Parliament systems is imported into the solution it is typically put into a constant format which is required for entries in the database.
As a general rule for all data acquisition, whether from internal or external sources, the data being entered should always be submitted to verification, possible modification and validation by the Historical Archives' data manager in order to guarantee the uniformity of data.

Formats

The solution must at least accept data in XML format.

Import procedure

The data manager should be able to trigger the import procedure without any server-level intervention.
The import procedure should at least check the unique character of the entries. In addition, it would be useful if other checks implemented during manual entry could also be applied. The solution should apply a method for discontinuing or cancelling the import should the predefined number of errors have been exceeded. In case of an error or disruption in the importation procedure, the solution should produce a log file indicating the incident.

It should be possible to carry out the import by choosing forced entry numbers or numbers that have been automatically allocated by the system. The first option will be necessary if, as is currently the case, the link between tables is performed through the entry number.
Finally, the import procedure should be capable of determining the values of calculated fields, as in the case of manual entry. This involves fields the value of which is obtained by concatenation or another procedure on other fields.

3.8.2 Export of data

This refers to the option of exporting data for use by other systems, possibly to feed other databases. It should be possible to export complete entries selected in a given table, without having to specify the elements that are to be exported, but it should also be possible to export selected elements in a given table or in different tables.

Formats

It should be possible to export data from different tables at least in XML format, with different options of presentation of the data.
It should be possible to use the XML-EAD (Encoded Archival Description) to export the archival description data, in particular to produce finding aids.
It should be possible to use the XML-EAC (Encoded Archival Context) to export the authority records for corporate bodies, persons and families.

3.9 Relations

All relations should work both ways: it should be possible to display and reach the target entry from the entry where the link has been created and it should be possible to display and reach the related entries from the target entry.
Qualified links (i.e. qualifying the type of relationship between the entry and the target entry) would be a desirable feature of the solution.

3.10 Association and display of documents

Documents associated with entries means documents of any type, the existence of which is indicated upon display of the entry and which, upon request, can be displayed or reproduced.

3.10.1 Association of documents with entries

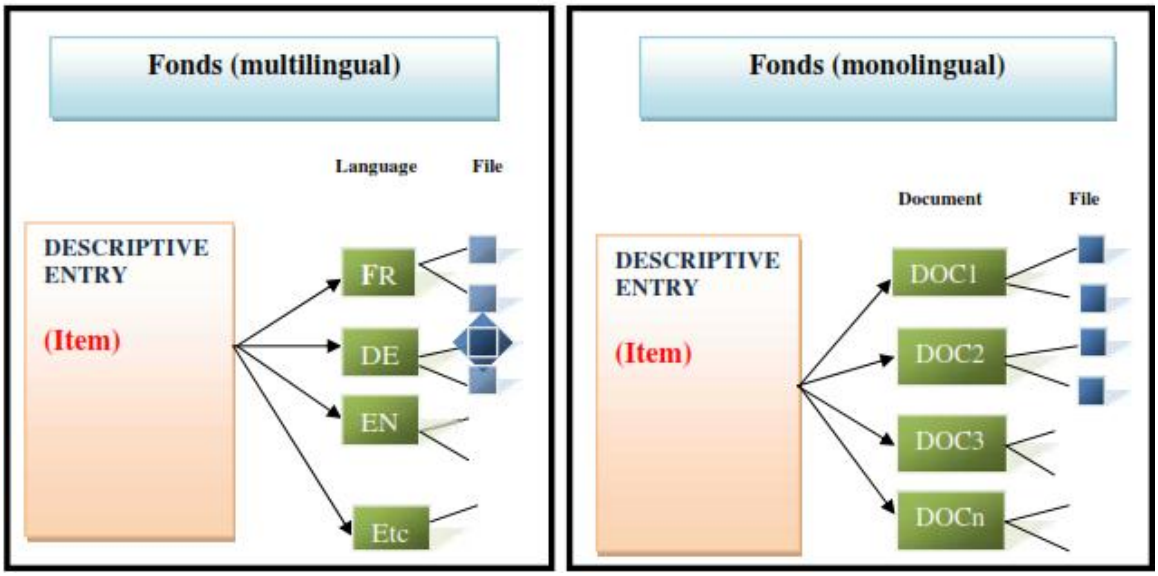
The solution should allow for any entry in any table to have associated documents. These entries must at least include the arrangement and archival description entries as well as the authority records.

Supported formats

All office formats as well as the most popular graphic and multimedia formats should be supported. Support for the PDF/A format is mandatory.

Principles of association

The solution should be capable of linking document files to entries according to the variants shown in the following diagram.



The solution should have sufficient flexibility for accepting the current file-repository tree structure, based on the reference codes of descriptive entries.
The software should allow electronic files (digitised documents or digital-born documents) to be manually associated with an entry.
Documents acquired by batch are sourced from a service provider, which organises them according to the file repository tree structure associated with the database. In all cases (e.g. regardless of whether the entry has been previously entered into the system or whether it is included in an import file), the system should provide a method for associating images with batch entries.

Organisation of documents

The solution should have sufficient flexibility for accepting the current file-repository tree structure which is based on the reference codes of descriptive entries and contains around 4 million files. If the existing file repository structure needs to be adapted, it must at any rate be capable of complying with the rules decided by the data manager. Document organisation which is decided upon and controlled solely by the operating system is not acceptable.
Two models of organisation are acceptable:

- Organisation decided by the data manager (manual);
- Organisation controlled by the solution (semi-automatic): The solution offers appropriate tools for organising files. In this case the solution should allow for the data manager to identify documents in the file repository using reference codes. It would be useful, if the operating system could adapt to the organisation decided by the data manager and take charge of the file movements which result from hierarchical reclassification. (See 3.1.4.3 hierarchical reclassification of entries).

A desirable option would be that the solution would guarantee that each file stored in the file repository is unmodified by other systems/operations.

3.10.2 Display of documents

Display window

Office documents, including those in PDF/A format, should be displayed beside the description entry. It should be possible at all times to determine with ease, and without the slightest ambiguity, which document image corresponds to which entry.

Option of saving on request

When using the display window it should be possible to save the document on display under a 'standard' name suggested by the software but which can be modified by the user.

Sending to a printer

When using the display window it must be possible to send the document to a printer that is accessible from the workstation being used. *The option of adding either a watermark or a simple reference to the Historical Archives to the printed document would be useful*.

Sending by email attachment

When using the display window it should be possible to attach the document to an email.

Playing of multimedia documents

The system should enable the playing of multimedia documents attached to entries.

3.11 Searching

The solution should provide complex search facilities to respond to different kinds of information retrieval requests which offer a professional user the possibility to combine an arbitrary number of search criteria from different fields within a table or combine fields from different tables.
For the uninitiated public, simpler search interfaces should be offered on the European Parliament's intranet and on the internet. The solution should be capable of these services in compliance with the specific constraints and with the European Parliament's graphic design standards.

3.11.1 Query language

The solution may propose a query language to the professional user, provided that it also offers searches through configurable forms. Having such a language could prove useful for certain complex searches to be carried out by experts or for checking queries. In such a case the contractor should provide a detailed guide on the use of the query language.

3.11.2 Search forms

Pre-sets

The solution should offer search forms that are suited to searching for any entry (acquisition, archival description, authority records, etc.).
The forms should allow for searches using multiple criteria. A reasonable number of possible criteria should be proposed. The form should enable consultation of each index used, from the start or based on a value depending on a root entered by the user in the search area. Certain more frequently used indices could be suggested by default, but always with the option for the user to change them.

Adaptation options

The solution should offer the option of designing forms that require different levels of expertise for use, so that the one suggested by default may depend on the user. It should be possible, in particular, to design a basic search form for the general public that requires no knowledge of the system, of the document organisation or the query language.

3.11.3 Search operators and tools

The software should offer a set of logical and relational operators suitable for combining different types of search criteria. These operators should be possible to use by selecting an arbitrary number of criteria from a list of element labels.

Truncation

Truncation is taken to mean a character – e.g. '%' – that takes the place of one, several or no characters at the end, in the middle or at the beginning of a character string used as the search criterion. Several truncations should be possible in the same character string.
Truncation should also be possible without any other character, which can be used to test if a particular field is empty or not.
The issue here is that of the flexibility of truncation use. Empty fields may indicate a quality of an entry. For example, if there is a field for adopted texts, by choosing this field and "truncating" it by zero sign one can obtain a full list of adopted texts.
If the solution does not permit this same option for truncation, it must offer another method for testing empty fields.

Text search within an entry

The index search for text data should be possible at form level, although, apart from the standard Boolean operators to be applied between the words, it would be useful to have at least some concepts of adjacency and exact expression.

Text search within documents

The documents associated with the descriptive entries containing indexable text fall into two categories:

- PDF documents in image mode, with text added by optical character recognition (OCR);
- PDF documents in text mode, converted from original electronic documents.

As a result, searching the full text of the above mentioned document types should be a necessary function in the solution. The option of searching the text should be combined with searching the indices. The text search should offer certain functions as a minimum: truncation, exact expression, implicit or explicit operators, etc.

Behaviour

In the search form mode, search between criteria is operated in order or appearance, with each result being calculated before the following criterion operates.

1. Legislative term –	5th	AND
2. Hierarchical level –	Folder	AND
3. Key word in title	Reform	OR
4. Key word in title	Milk	

In addition the solution could lie in an equation mode that would use the line references (numbers to the left), explicit operators and parentheses to force an execution order, either in a search form such as following: 1 AND 2 AND (3 OR 4) or 1 AND 2 AND (4 NOT 3) etc.
The solution should give explicit instructions how it executes the search function and what restrictions there are.
Other search operators which help the users to define and refine search criteria logically and in a flexible way are considered as interesting.
However, search operators which base on any kinds of rankings (i.e. most popular items etc.) or any random and from the user closed calculations should be avoided.

3.11.4 Combined search

This term has been adopted for the option of grouped searches which combine searches of two or more tables. The following example may serve to better illustrate this type of search which the Historical Archives is frequently asked to carry out: a request for the list of written questions put by Spanish MEPs in the Socialist group to the Council during the fourth parliamentary term. It should be possible to obtain the response by initially searching the authority table for people, in order to obtain the list of Spanish MEPs in the Socialist Group during the fourth parliamentary term; secondly, each element in this list is

used for the search criterion as the 'author' of parliamentary questions addressed to the Council during the fourth parliamentary term.
There is no need to actually obtain the list and then search the questions for each of the MEPs individually; this should be possible using a single equation, without even displaying the list.

3.11.5 Saving a search equation

The solution should offer the option of saving a search equation so that it can be performed at a later stage. It should be possible to save several search equations per account.

3.11.6 Search session – Reuse / Refining search

It is important that the concept of a search session is offered, at least for professional searches. This will allow users to refine a search that has been too restrictive or too large.
During the session, a history of searches should be kept to enable the reuse of certain lines that could be recombined with the help of Boolean operators.

3.11.7 Presentation of data

Displaying the list of results

The list of results should be displayed on request after revealing the number of entries obtained, making it possible to refine the search as required.
A list of result is necessary unless the search result consists of a single response, in which case the entry can be displayed immediately. This list should make it possible to select the entries to be displayed with the full list being the default setting.
There should also be the option of selecting all or deselecting all and of selecting an individual entry or a range of entries.

Pre-set identifier

A pre-set identifier should exist for each table so that it can be used by default in the list of results. It should be possible for the data manager to determine this identifier and it should be modifiable.

User-defined identifier

Identifiers that can be configured by professional users (i.e. data manager) would be very useful. They would take the form of models that would be called up, for example according to the type of entry, when the results are displayed.

Sorting

Assuming that the identifiers are formed by several components and displayed in the form of a table, it should be possible to carry out direct and reverse sorting by clicking on the header for each element, depending on the element.

3.11.8 Display of entries

Entries should be displayed in different presentations that can be configured by the data manager (no server-level intervention is required).
By default, two pre-selected displays of the entries should be offered to non-professional users: one will be a 'short entry' and the other a 'long entry', with the option of toggling between the two.
For professional users, it should be possible to create different display models.
Display of the entry grid corresponding to the entry type must always be possible in the expert search mode.

Display of single values of selected fields

The usefulness of displaying single values of selected fields can be demonstrated by way of example: statistics on the activities of an MEP often consists of quantitative data on the type of files with which the MEP is associated. When making a query in the database using the name of the MEP in question as the search criterion and if this is combined with the 'File' level of description, the number of files is quickly obtained. The display requested would distribute this result by file type.
This function would have many more additional applications. As another example, knowing the list of MEPs whose term of office extends over a given date, it would instantly distribute them by nationality, political group, etc., as is frequently requested.

Printing of search results

It should be possible to print the list of results on a printer accessible from the workstation used for the search. Printing should reproduce the list as configured or similar configuration options should be offered.

Exporting of search results

- To office software: spread sheet, word processor or other

The list of results, with the possible configuration mentioned above, should be exportable to office software, such as a spread sheet or a word processor. In addition to the list of results, more complex compositions of data should be exportable in a format readable by such software.

- Export models

The export of data should conform to models defined by the data manager or the user, which are accessible during searches, at least in expert mode.

Pre-sets model of export

A pre-set model of export is a model created by the data manager and offered by default. These models should allow the inclusion of the content of selected fields, in any order, with the default label or an *ad-hoc* label. They should also allow the addition of inserted text.

User-defined models of export

For the duration of a search session, yet with the option for expert users to save them in a private area, users should have the option of creating export models according to their needs. These models would remain private, although they could be made public with the agreement of the data manager.

3.11.9 Search help

3.11.9.1 Search by navigation in the hierarchical structure

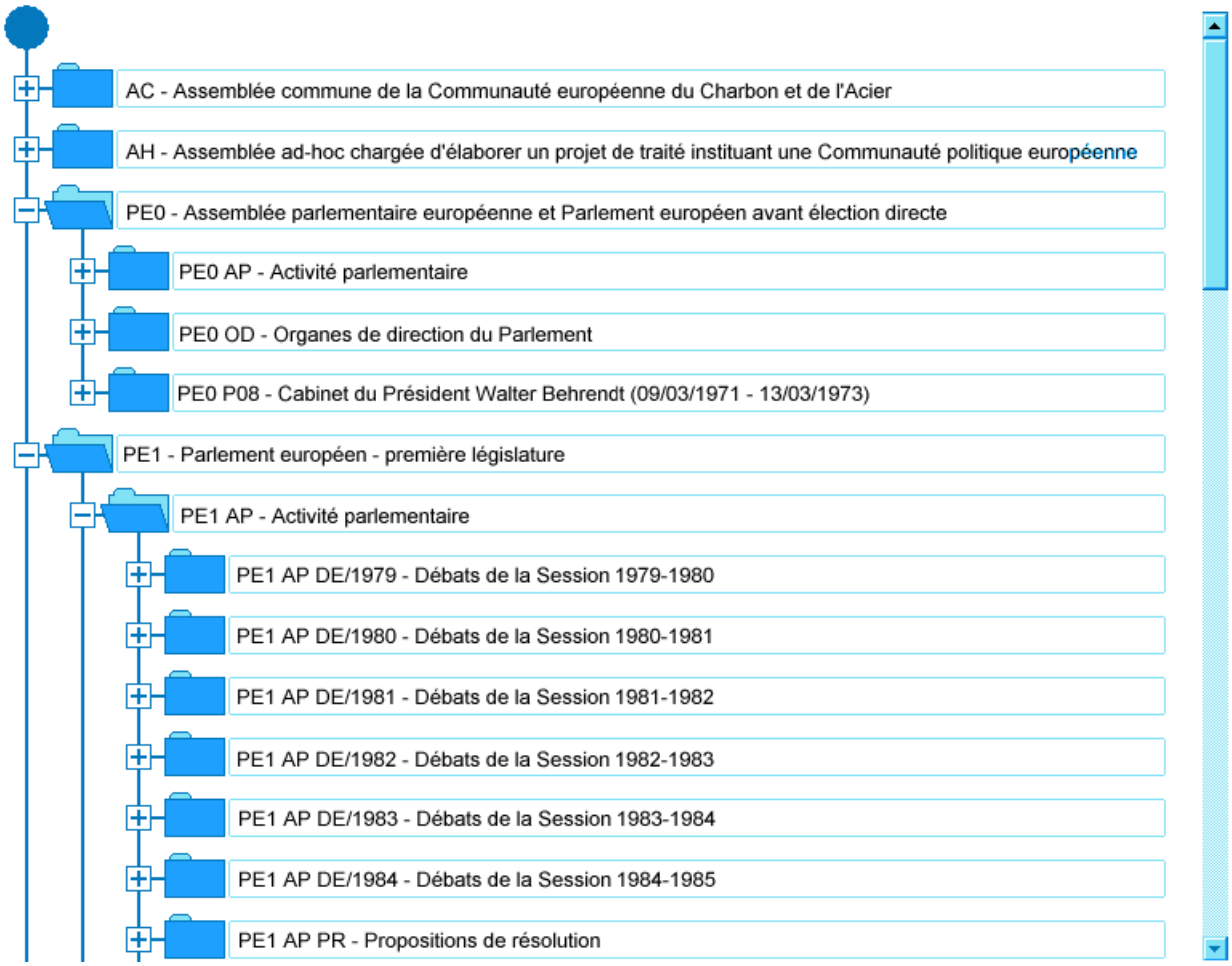
This involves dynamically displaying the hierarchical structure of the description entries as illustrated bellow. Users should be able to expand or reduce the tree simply by clicking on the level they want to expand.

Direct access to the entry

Clicking on the description identifier should display the descriptive entry for this unit. It should be possible to return from the entry display to the tree structure display.

Refining a search by navigation

It should be possible to switch easily between the navigation in the hierarchical structure and the search form: by clicking on a level in the hierarchical display the solution should open the search form, with the search criterion by reference number already completed to show the number of entries in the selected level. If there is a limit to the number of results that can be displayed or if the user wishes to refine the search, the form will thus be immediately available.



A form such as that below should be opened after clicking on the series level ***PE1 AP PR – Motions for resolution***

The search result shown by the form contains 3 076 files. The addition of other criteria in the form will help refine the search.

3.11.9.2 Faceted search and filters

Faceted search or browsing would be a desirable search help in particular for non-professional users. It should be possible for the data manager to define the filters.

3.12 Data management

This does not refer to the administration, management or maintenance of systems, servers or software support for the database, but rather the functions performed by the data manager to administer the data or parameters.

When describing the various functions above, cases have been highlighted where the data manager should have access to these. It is in fact essential to have a module that enables these operations to be

performed without requiring specific knowledge at the level of Database management system (DBMS) or Operating system (OS).
The data management functions include:

- user and permissions management;
- possibility to modify and update drop-down lists within the system;
- possibility to modify input forms;
- possibility to create new input forms (on the basis of copying and modifying existing ones for example);
- possibility to add fields to tables;
- possibility to trigger import procedure;
- possibility to extract data;
- validation/modification of authority lists;
- creating new indices and redefining existing ones;
- re-indexing of tables;
- possibility to import data in batch;
- possibility to modify/validate imported data in batch;
- possibility to modify properties of elements of descriptive information (field lengths, field names etc.);
- possibility to create rules for organising files in the file repository;
- possibility to define export models;
- definition of access rules;
- possibility to create and modify reports models.

Two specific cases stand out:

3.12.1 Management of archival description models

For certain types of documents, the archival description is adapted to the particular type of data used in order to describe or index them. The data manager should be able to create new description models or add a new element to a description entry and to modify the definition of an element in a way so that it is not incompatible with the data already entered, e.g. by increasing its length.

3.12.2 User management

It should be possible for identified and unidentified users to make use of the database, with unidentified users being treated as belonging to a special group.
The European Parliament's centralised system for controlling access should be used to identify access, but the Historical Archives will in any case need to manage identified users and the groups to which they belong. There will preferably be two types of groups: one relating to roles, which will be used to decide the functions to which a user will have access; the other relating to the permissions for access to documents which will be used to manage confidentiality. Groups and users should be described using the standard system tables.
The structure of the future solution is closely related to the question of who will use it. The main profiles of users of the current system are listed below with a short description of their roles and needs.

Key users

Data manager (DM): Ensures that the work done by the archivists can technically be incorporated into the system. In other words he/she is a link between archival description and technical execution.
Ensures the compatibility between archival processing and describing the methodology and the technical possibilities offered by the system.

Ensures that the system complies with the international archival standards for the description and organisation of documents and their related data used at the Historical Archives Unit and that it continues to conform as these evolve.
Executes technical commands or gives instructions for IT services to execute technical commands so that documents and related data are organised systematically and respect international archival standards. In performing this task, the data manager acts as a link between the instructions given to archivists and the technical possibilities for carrying these out.
Collects and modifies metadata received from other EP databases to ensure conformity with the international archival standards used in the Historical Archives Unit and implemented in the system. Metadata should be understood as an integral part of the archival description.
System administrator (SA): An expert in IT systems who ensures the functioning of the solution in the European Parliament's IT environment. The SA operates at server level.
Client support (front office): Responsible for promoting the archives. Carries out research for both internal and external audiences, uses documents described in the system and description and reference data for designing exhibitions or historical publications.
Archivist:
a) Responsible for processing the archives: arranges, describes and contextualises the documents respecting the international archival standards used in the Historical Archives Unit in a way that facilitates subsequent consultation;
b) Responsible for managing the archives: acquisitions, storage, communication, disposal, and transfer to the Historical Archives of the European Union in Florence (Italy).
EP users (internal audience): Use the system for consulting specific documents or data related to work, for example in preparing legislation.
Researchers (external audience): Understood to be the public in general, although practice has shown that different groups can be identified among the researchers. This needs to be taken into account when describing their specific needs: academic researchers, journalists, law firms, etc.

The system should be user-friendly enough in all its functionalities to accommodate all these internal and external, professional and non-professional profiles. In particular, the Historical Archives Unit employs temporary agents as archivists (trainees, outsourced human resources, etc.).

3.13 Interface

The solution should provide user-friendly interfaces which are tailored to public users and internal professional users. Both have the following general features in common:

- simplicity;
- consistency;
- customisability (language, and theme and template systems, particularly for internal users);
- easy accessibility and multilingualism.

The interface should meet the following objectives. It must:

- facilitate multiple workflows;
- provide consistent user experience;
- segregate management activities from arrangement and archival description activities;
- segregate display of documents from acquisition, authority or description entries;
- support hierarchical browsing, selection, and reordering;
- provide consistent help (general help, customisable context-related help text, etc.).

Scroll bars should only be used in exceptional circumstances.

3.14 Internet

As described in Chapter 3.11 simple search interfaces should be offered for the uninitiated public on the European Parliament's intranet and on the internet. The solution should be capable of these services in compliance with the specific constraints and with the European Parliament's graphic design standards. The tenderer should describe how the solution is accessible through internet.

4 Services

All requested services should be provided in English and/or French.

4.1 Transfer of existing data

See also section 2.9 in this document. A crucial part of this tender is the migration of all existing data in the current database system of the European Parliament's Historical Archives to the solution proposed by the tenderer. The tenderer must guarantee the full, faultless transfer of existing data. This effort should be entirely borne by the tenderer, in close cooperation with a contact person from the European Parliament's IT service, which hosts the current database.

In the project plan, the tenderer should propose the method and timeline for performing the transfer of data (i.e. the approach for the definitive switchover to the new system and the approach for preliminary tests).

4.2 Manual and documentation

An English and/or French manual for the system, as delivered and configured at the European Parliament, must be provided, in both printed and electronic formats (PDF) on a DVD/CD-ROM. This manual is to be updated following all re-configurations of the system, and is considered to be a deliverable which must be provided by the end of the project.

As previously mentioned, the system must provide an integrated assistance function (general assistance, customisable context-related assistance text, etc.) that is adapted to the specific configuration that will be installed at the European Parliament.

Where changes are made to the system's configuration, these should be clearly documented. Such documentation must be made accessible to all users, preferably as an annex to the manual. In case of fundamental changes, or whenever a key user (administrator) is added or replaced, it must be possible to request additional training for the users affected (at the prices specified in the offer made by the tenderer).

Access to the most recent versions of user manuals is mandatory. If additional support exists – for example on user forums or a support website – key technical personnel in the European Parliament's Historical Archives Unit should have access thereto.

As part of the documentation of the system, the successful tenderer must describe a detailed backup and restore procedure. This procedure must allow the European Parliament's hosting services (OPERATIONS, DG ITEC) to implement a reliable backup scheme, allowing for full recovery of the system.

4.3 Training

Concise, practical training should be provided for all users of the software. The tenderer should specify the number of days of training required for users to develop a thorough understanding of the system and to be able to operate it in a day-to-day context.

For (database) administrator users in particular, more elaborate, in-depth training, which focuses on both practical and theoretical (underlying data model and design philosophy) issues, should be provided. The tenderer should specify the number of days of training required for administrator users to obtain a suitable level of expertise.

Specific technical training for 2-3 key members of the European Parliament's technical staff, dealing with standard service procedures (such as backup, failover, etc.), and an in-depth overview of the configurable parameters of the system (allowing the European Parliament's technical staff to implement small changes directly at the request of users) should be provided. The tenderer should specify the number of days of training required for technical users to obtain a suitable level of expertise.

For further requirements and obligations, see point 2.3.1 of Annex II.

4.4 Warranty, support and maintenance

A support service must be made available by the tenderer, as part of the maintenance service, for the duration of the contract (maximum 10 years), and should be available immediately after the final switch-over to the system, as proposed in the tenderer's project plan.

A service level agreement (SLA) as regards support and maintenance services must be provided by the tenderer. The SLA in Annex II and all other requirements about performance of project, service and maintenance are given as minimum requirements. The SLA must be compliant with the minimum requirements listed in Annexes II and II.1, as well as in these technical specifications and in point 2.2. The cost of the services should be indicated separately in the tenderer's offer (on the price sheet). The tenderer should clearly stipulate in the offer which services are provided (and, where appropriate, which are not). It should be clearly mentioned, in particular, whether and to what extent "evolutionary maintenance" (future developments allowing for the evolution of the system) is considered to be included in the maintenance contract. The SLA will be treated as an annex to the contract.

Regular user support and assistance for the system should be available during the European Parliament's regular working hours (08h30-17h45). Outside of these hours, an emergency support service should be in place.

The tenderer should propose either on-site user support or external support for the whole duration of the contract. Training can be provided for on-site support. Different profiles for an on-site support service can be proposed so that the European Parliament may choose the profile which is best suited to various tasks.

Access to a telephone help desk for support in case of problems with the software's functionality is required. In the case where it is not possible to provide an immediate response due to the complexity of the problem, the contractor should specify the estimated lead time required to resolve the problem. Reporting via e-mail should allow for all support questions and solutions given or suggested to be

traced, thereby making follow-up possible. A limited number of European Parliament officials will be appointed as contact persons for this follow-up.

In the proposal, the tenderer should provide information on its capacity, availability and strategies to resolve any technical problems that may arise in the use of a solution. It is envisaged that the contractor will resolve these problems in cooperation with the European Parliament's IT service, as there is currently no remote access to European Parliament's IT environment.

The support and maintenance services must incorporate all software upgrades issued, without any additional charges.

On-site support interventions in Luxembourg may be requested. On-site interventions may be necessary for the installation of updates (see also section 2.1 in this document) to allow for specific issues to be discussed with the users of the software, or for other reasons, at the demand of the European Parliament.

Bug fixes should be provided by the contractor. The lead time required to resolve software bugs, categorised by the level of urgency (critical, serious, minor, aesthetic, and functional), should be proposed and specified by the contractor. In addition, the contractor should indicate the time-scale on which he will accept, report and resolve different types of IT incidents.

The system should be allowed to evolve, i.e. further customisation (additional features or the retraction of features) will be required for the entire duration of the contract. The tenderer must specify a price per unit for further development (see price table).

Software warranty (including bug resolution): Notwithstanding Article I.9 of the contract ('Warranty'), the warranty will cover the suitability of the software to provide the functionalities required, as well as error-free design, programming and parameterisation, for a 24-month period. The contractor's liability will also cover, under the same terms and conditions, any items which may have been supplied on a subcontracted basis. The contractor must undertake to correct or have corrected, at his own expense, any errors found in the application software supplied. In the case of operating systems, this obligation will be limited to informing the suppliers of the errors found and installing the corrections to be provided by the latter. During the 24-month warranty period, the update of software must be carried out by the company at no extra cost. The update of software must be documented in the as-built files, and complete new software releases will consequently be handed over to the European Parliament. Likewise, the contractor must ensure, and give the client a guarantee to this effect, that all functionalities will be properly reproduced following a changeover from one software release or software package release to another.

Maintenance operations during the warranty period must cover preventive, corrective and perfective maintenance, with a telephone help desk available during working hours (as specified above).

Should the contractor fail to comply with the terms and conditions for maintenance under warranty, a penalty as specified in article I.10.2 of the framework contract per day of delay will be incurred.

Any operation which requires all or part of the systems to be taken out of service temporarily may be carried out only after the European Parliament has given its explicit consent as regards the scope and timing of the operations to be performed.

Maintenance outside of the two-year warranty period: Outside the two-year warranty period, the tenderer must provide a maintenance service that includes software updates, bug-fix releases and telephone support, and that offers the same service and follow-up as that required during the warranty period. The penalties applicable in the case of failure to meet these requirements will remain the same. The tenderer will indicate the cost per year for this maintenance service.

5 Project management and lifecycle

5.1 Project planning

The tenderer is required to provide a general plan for the implementation of the project, including the delivery time and deliverables for each project phase, for the migration of the existing data and the development/configuration of the functionalities.

It is required that the proposed methodology incorporate several iterations and/or phases, at the end of which user feedback is gathered, and the modifications to the system that have been requested or required are implemented during the next phase.

The initial phase should include a study and analysis of the main workflows that exist in the Historical Archives Unit, in order to establish practical and workable customisation, configuration and implementation for the planning solution.

Once an initial test system has been put in place, new features and configurations of the system should be tested by key users during a limited testing period. During testing, continual interaction with the tenderer's specialised staff is upheld, and the system is customised in response to the users' feedback.

The European Parliament's project coordinator will act as the liaison between the contractor's team and the European Parliament's end-users.

When a semi-finalised system has been developed/configured, it will once again be tested for a limited period, during which time further feedback will be gathered and suitable modifications will be implemented. An important part of the evaluation at this stage will be focused on practical usability and on the adoption of the new system by all users of the European Parliament's Historical Archives Unit. The system (and its integration with other systems) delivered at the end of this stage will finally be evaluated by the users following a testing period that will last approximately two months. During this period, continual interaction with the tenderer's specialist staff must be provided for to assist users and customise the system in response to their feedback. Following the test period final user feedback will be gathered, after which the contractor will perform the necessary modifications based on the users' feedback.

The system delivered at the end of this phase must be running reliably and error-free, without regular interventions by the contractor or the European Parliament's IT staff, and it must be ready for deployment as a common tool for archival and document management in the Historical Archives Unit.

The tenderer must clearly indicate how the transfer of existing data into the new system and the switch-over from the old system to the new one will be handled.

5.2 Project management

Project management will be handled by the tenderer, who will assign a dedicated project manager. The project manager will work in collaboration with a coordinator from the European Parliament who will act as an interface for services required by the European Parliament (notably as regards hosting) and will ensure the availability of key users.

The contractor is requested to ensure that the project methodology and documents used comply with PMM4EP (Project management methodology for the European Parliament), which is a standard PMI/PMBOK-based methodology. Document templates will be provided to the successful tenderer during the project's kick-off meeting.

5.3 On-site presence of contractor

From project inception to completion, the project manager is required to be present during working hours at the European Parliament's premises in Luxembourg for an average of **at least one of the five working days per week** (adjusted in respect of holidays and closing days at the European Parliament's premises), and during all stages of the project which involve analysis, deployment, testing and the gathering of user feedback. A proportional on-site presence will also be required in case of further customisation after the initial completion of the project.

The permanent presence of an analyst during crucial stages of the project – that is during phases in which (a) technical and/or functional analysis of requirements takes place and/or (b) user feedback must be captured and implemented, is strictly required, even if this results in the minimum on-site requirement for the project manager's presence (as stated above) being surpassed.

In the project plan, the tenderer is required to specify the number of members of staff that is proposed and guaranteed to be present during each stage of the project, and provide a description of the project team's composition, keeping in mind the stated minimum requirements.

5.4 Property rights and acceptance

Notwithstanding the conditions set out in the draft contract (Article I.8 'Acceptance Procedures'), after the final delivery of the fully operational system, or by means of a simple request at any point during the course of the contract, the European Parliament must receive a DVD-ROM, a series of DVD-ROMs, or a USB storage device containing all necessary software components (applications, licence, etc., excluding the actual operating system) to allow a European Parliament official with a basic background in IT to re-install the entire system, including all customisations, on a server, easily and rapidly (requiring less than 8 hours to complete) . The storage device(s) should also contain all the necessary parts to re-install the client software on the users' workstations, and a document detailing a straightforward procedure to restore the last backup (of all data contained in the system) onto a fresh installation of the (server) application. Using the supplied storage device and the final backup of all data, it should thus be possible to fully restore the entire system onto new hardware. A similar storage device (or devices), containing an updated and potentially further customised version of the system, must be supplied at the end of the contract.

In order to be accepted, full documentation, including a user manual and technical information describing the hardware and software systems involved, must be delivered, in English, in both printed and electronic formats. Furthermore, a full update of the documentation supplied at the time of acceptance should be delivered, in both printed and electronic formats, detailing the system as it exists in the final four weeks of the contract (including all additional modifications and customisations).

A list of all codes or keys required (for the planning software and any other application or system supplied), as well as a list of serial numbers and software versions, will be provided by the contractor before the final acceptance date.

Annex: Glossary

Concept	Definition
Access restriction	Limitation on access to or use of documentary materials. The access restriction may be applied on the whole or parts of the archival description and the related documents or only on the documents. Access restriction may be defined by a period of time and mitigated by access permissions for individuals or groups of people defined by their individual and professional profile or by their belonging to the office of origin of the documents.
Accession	1) For an archival institution, to take legal and physical custody of a group of documentary materials and to formally document their receipt. 2) Materials transferred to an archival institution in a single accessioning action.
Accession code	Code assigned to an accession for identification purpose to facilitate storage and retrieval.
Acquisition	Documentary material received by an archival institution as a unit.
Administrative and non-legislative fonds	Fonds consisting of documents related to the administrative work of the European Parliament and organised by office of origin following the principle of provenance ("respect des fonds").
Appraisal	The process of determining whether documentary materials have permanent (archival) value and should be preserved as (historical) archives. Appraisal can take place prior to physical transfer, at or after accessioning.
Archival description	The process of analysing, organizing, and recording details about the formal elements of documentary materials, such as creator, title, dates, extent, and contents, to facilitate their identification, management, and understanding. The product of such a process. The description policy of the Historical Archives Unit is based upon the international standard for archival description, ISAD(G).
Arrangement	The process of organising documentary materials with respect to their provenance and original order, to protect their context and to achieve physical or intellectual control over the materials.
Authority control	The process of establishing the preferred form of a descriptive element and ensuring that all records use such descriptive element.
Authority lists	A compilation of records that describe the preferred form of descriptive elements in the form of a simple list, along with cross-references for other forms.
Authority records	A compilation of records that describe the preferred form of descriptive elements in the form of detailed records, along with cross-references for other forms.

Bay	A unit of shelving, consisting of horizontal shelves between upright frames.
Classification scheme	A pre-defined arrangement of documents often represented as a hierarchical structure and accompanied by descriptive information. A classification scheme is intended to be used for an arrangement or division of individual objects into groups. The classification scheme defines general organisation of the fonds in an archival institution.
Deposit	The transfer of records or other materials to an archival institution without transfer of title.
Digitisation	The process of transforming analog material into binary electronic (digital) form.
Documentary materials	Recorded information regardless of form or medium.
File	1- Digital counterparts of documents. 2- An organised unit of documents grouped by use or topic typically housed in a folder (paper or digital). 3- A level of description.
File repository	Storage facility of files used by the Historical Archives and based on the Windows file system.
Filing plan	A specific arrangement of documents in a fonds often represented as a hierarchical structure and accompanied by descriptive information. The filing plan is unique for each fonds.
Finding aids	The descriptive tool, published or unpublished, produced by an archival institution to establish intellectual control over archives and to facilitate discovery of information within the holdings.
Florence code	Identification code attached to the documents transferred to the Historical Archives of the European Union in Florence at file level.
Fonds	1- The whole of the documents, regardless of form or medium, organically created and/or accumulated and used by a particular person, family, or corporate body in the course of that creator's activities and functions. 2- A level of description.
Historical archives	The non-current documentary materials of the European Parliament which through the process of appraisal have been determined to have permanent or continuing value, in particular historical value.
Holdings	The totality of documents in the custody of an archival institution.
Hybrid fonds	Fonds consisting of paper and digital documents.
Internal reference number	Unique identifier attached to documents created or received by the European Parliament.
Item	1- The smallest intellectually indivisible archival unit. 2- A level of description.
Labelling	Action of assigning a tag to a container with identifying information about the archives it contains (Reference code most of the time).

Legislative fonds	Documents created during the course of the legislative process and organised by legislative term.
Levels of description	The level of arrangement that is described in a unit of description in a finding aid corresponding to the position of the unit of description in the hierarchical organisation of the fonds.
Long-term preservation	The totality of processes and operations involved in the stabilization and protection of documents against damage or deterioration through time.
Migration	The process of moving data from one information system or storage medium to another to ensure continued access to the information as the system or medium becomes obsolete or degrades over time.
Office of origin	The corporate body or administrative unit in which a group of documents is created or received, and accumulated during the course of business.
Open fonds	A fonds to which items may be subsequently added.
Originating service	see Office of origin
Processing	The activities of arranging, describing, and properly storing archives.
Récolement	Updated list of the holdings of an archival institution. The récolement can be topographical, displaying the archives by location, or methodical, displaying the archives by reference code.
Reference code	A unique identifier assigned to each unit of archives. The reference code used at the Historical Archives is hierarchical, made up of separate combinations of letters and numbers for each level of description.
Row	A section of bays assembled side by side, single or double sided.
Shelf	A flat sheet of metal, wood, or other rigid material that has been mounted horizontally and that is used to store materials.
Specific collection	Collection of materials with different provenance assembled by type (e.g. posters, audio records, videotapes etc.).
Transfer	The process of moving archives to an archival institution.
Transfer list	A form identifying the office of origin, providing quantitative information on the documents deposited and the packaging units (containers), and including a brief description of the content of the acquisition.

Annex: Data recovery

Archival description table – Fonds, Sub-fonds and Series levels

(approximately 1 800 records)

T – Table-related field (table specified if it is not the same)
L – List-related field
G – Designation of a group of fields
BR – Repeatable block of fields

	Fields	Remarks
	Record number	
	Creation date	
T	Creating archivist	User table-related
	Revision date	
T	Revising archivist	User table-related
G	Generic description	Table name (Designation of group of fields)
L	Level of description	
T	Fonds	Designation if Level of description = Sub-fonds
	Sub-fonds	Designation if Level of description = Series
G	Identity statement	**1st ISAD(G) area – IDENTITY STATEMENT**
G	Reference code(s)	**ISAD(G) element 1.1: Reference code(s)**
	Level reference number	
	Reference number	Ref. No. = [Ref. No. of higher level] + " " + [Ref. No. of level]
G	Titles	**ISAD(G) element 1.2: Title**
BR	**** **** **** ****	Instance separator in repeatable block
L	Language	
	Title	
G	Dates	**ISAD(G) element 1.3 – Document creation dates**
	Start date	
	End date	
	Start year	
	End year	
	Earliest and latest date	
	Notes on dates	
		ISAD(G) element 1.4 – Level of description
	…	The relevant field has been placed at the start of the record.
G	Extent	**ISAD(G) element 1.5 – Extent**
	Number of files	Automatic; displayed only if Level of description = Series
G	Context	**2nd ISAD(G) area – CONTEXT**
G	Creator	**ISAD(G) element 2.1: Name of creator**
T	Origin	CPF authorities
	Notes	
G	History	**ISAD(G) element 2.2: Administrative/Bibliographical history**
	Historical record	
	Bibliographical record	
	Dates of accumulation	**ISAD(G) element 2.3: Dates of accumulation of unit of description**
	Archival history	**ISAD(G) element 2.4: Archival history**
G	Immediate source of acquisition or transfer	**ISAD(G) element 2.5: Immediate source of acquisition or transfer**
L	Method of acquisition	
	Date of acquisition	

	Fields	Remarks
G	Content	**3rd ISAD(G) area – CONTENT**
		ISAD(G) element 3.1: Scope and content
	Analysis	
	Date of analysis	
	Notes on content	
G	Custody	**ISAD(G) element 3.2: Appraisal, destruction and scheduling**
	Custody rules	
	Appraisal and destruction	
	Accruals	**ISAD(G) element 3.3: Accruals**
	System of arrangement	**ISAD(G) element 3.4: System of arrangement**
G	Conditions of access	**4th ISAD(G) area – CONDITIONS OF ACCESS**
G	Legal basis	**ISAD(G) element 4.1: Legal basis**
L	Legal status	
	Notes on legal status	
G	Conditions governing access	**ISAD(G) element 4.2: Conditions governing access**
L	Communicability	
	Authorised services	
	Notes on communicability	
	Conditions governing reproduction	**ISAD(G) element 4.3: Copyright/Conditions governing reproduction**
	Language of material	**ISAD(G) element 4.4: Language of material**
	Physical characteristics	**ISAD(G) element 4.5: Physical characteristics**
G	Finding aids	**ISAD(G) element 4.6: Finding aids**
BR	**** **** **** ****	Instance separator in repeatable block
L	Type of aid	These fields, which were introduced at the request of archivists, have never been used.
L	Medium	
G	Allied materials	**5th ISAD(G) area – ALLIED MATERIALS**
	Location of originals	**ISAD(G) element 5.1: Location of originals**
	Existence of copies	**ISAD(G) element 5.2: Existence of copies**
G	Related units of description	**ISAD(G) element 5.3: Related units of description in the service**
T	See also ...	Multiple-value field
	Other sources	**ISAD(G) element 5.4: Allied materials in other services**
	Publication note	**ISAD(G) element 5.5: Publication note**
G	Notes	**6th ISAD(G) area – NOTES**
	Note	**ISAD(G) element 6.1: Note**

Archival description table – File and Item levels

(approximately 1 400 000 records: 300 000 files + 1 100 000 items)

T – Table-related field (table specified if it is not the same)
L – List-related field
G – Designation of a group of fields
BR – Repeatable block of fields

Use		Fields	Remarks
		Record number	
		Creation date	
	T	Creating archivist	User table-related
		Revision date	
	T	Revising archivist	User table-related
File + Item	G	Specific description	Table name (Designation of group of fields)
File + Item	L	Level of description	
File + Item	T	Series	Fonds, Sub-fonds and Series description table-related
Item	T	File	
File	L	File type	
File	L	File sub-type	
File	T	Rules of Procedure rule	Rules of Procedure table-related
File + Item	G	Identity statement	**1st ISAD(G) area – IDENTITY STATEMENT**
File + Item	G	Reference code(s)	**ISAD(G) element 1.1: Reference code(s)**
File + Item		File/Item number	The designation will depend on the level of description.
File	T	Procedure number	Procedure table-related
Item		Session document number	
Item		PE number	
Item		Texts adopted number	
Item		Letter number	
Item	G	Other numbers	
Item	BR	**** **** **** ****	Instance separator in repeatable block
Item	L	Number type	
Item		Number	
File + Item		Reference number	
File + Item	G	Titles	**ISAD(G) element 1.2: Title**
File + Item	G	File title	
File	BR	**** **** **** ****	Instance separator in repeatable block
File	L	Language	
File		Title	
File		Object title	
Item	L	Item type	
Item		Additional title for item	
File + Item	G	Dates	**ISAD(G) 1.3 – Document creation dates**
File + Item		Date of (first) document	Designation will depend on level of description; 'first' if file.
File		Date of last document	
Item	L	Date certified	
Item	G	Other significant dates	
Item	BR	**** **** **** ****	Instance separator in repeatable block
Item	L	Type of date	
Item		Date	
File + Item		Notes on dates	
File		Meeting date	Field completed automatically for PV-type files, on the basis of the number.
			ISAD(G) element 1.4 – Level of description
			The relevant field has been placed at the start of the record.
File + Item	G	Extent	**ISAD(G) element 1.5 – Extent**
File		Number of items	
File	L	Notes on content of file	
Item		Number of pages	

Use		Fields	Remarks
File + Item	G	Context	**2nd ISAD(G) area – CONTEXT**
File + Item	G	Creator	**ISAD(G) element 2.1: Name of creator**
Item	T	Author/Origin	CPF Authorities table-related; multiple-value field
Item	T	Addressee	CPF Authorities table-related; multiple-value field
Item	G	Origin (others)	
Item	BR	**** **** **** ****	Instance separator in repeatable block
Item		Person	
Item		Corporate body	
Item		Town or city	
Item	L	Country	
Item	G	Addressee (others)	
Item	BR	**** **** **** ****	Instance separator in repeatable block
Item		Person	
Item		Corporate body	
Item		Town or city	
Item	L	Country	
File	G	Committee responsible	
File	BR	**** **** **** ****	Instance separator in repeatable block
File	T	Committee name	CPF Authorities table-related
File	T	Rapporteur	CPF Authorities table-related
File		Tabling date	
File	G	Committees asked for an opinion	
File	BR	**** **** **** ****	Instance separator in repeatable block
File	T	Committee name	CPF Authorities table-related
File	T	Rapporteur for the opinion	CPF Authorities table-related
File		Date of opinion	
File	L	Form of opinion	
File	G	External reference documents	
File	BR	**** **** **** ****	Instance separator in repeatable block
File		Session document number	
File		External document number	
File	L	Content of file	
File	G	Internal reference documents	
File	T	Document number	multiple-value field
File	G	Followed by	
File	T	File	Multiple-value field
File	G	Follows on from	
File	T	File	Multiple-value field
File	G	Author(s) of question(s)	The designation will depend on the type of file (QP or PR).
File	BR	**** **** **** ****	Instance separator in repeatable block
File	T	Author	CPF Authorities table-related
File	T	On behalf of	CPF Authorities table-related
File	T	Addressee of question	
File	G	Debate	Repeatable block for debate
File	BR	**** **** **** ****	Instance separator in repeatable block
File		Date of debate	
File		OJ debates annex	
File	G	Final status	
File	L	Status	
File		Date	
File		OJ publication	
File		Historical record	**ISAD(G) element 2.2: Administrative/Bibliographical history**
File		Dates of accumulation	**ISAD(G) element 2.3: Dates of accumulation of unit of description**
File		Archival history	**ISAD(G) element 2.4: Archival history**
File	G	Immediate source of acquisition or transfer	**ISAD(G) element 2..5: Immediate source of acquisition or transfer**
File	L	Method of acquisition	
File		Date of acquisition	
File	G	Content	**3rd ISAD(G) area – CONTENT**
File	G	Analysis	**ISAD(G) element 3.1: Scope and content**

Use		Fields	Remarks
File	BR	Thematic classification	Repeatable block
File	T	Thematic file	Thematic files table-related
File	BR	Eurovoc indexation	Repeatable block
File	T	Descriptor	Eurovoc table-related
File	BR	Other identifiers	Repeatable block
File	T	Identifier	Identifier table-related
File		Analytical notes on content	
			ISAD(G) element 3.2: Appraisal, destruction and scheduling
			ISAD(G) element 3.3: Accruals
			Any pertinent information will be contained in the relevant entry to the management table, and it does not need to be carried over into the record.
File		System of arrangement	**ISAD(G) element 3.4: System of arrangement**
File + Item	G	Conditions of access	**4th ISAD(G) area – CONDITIONS OF ACCESS**
			ISAD(G) element 4.1: Legal status
			Any pertinent information will be contained in the relevant entry to the management table, and it does not need to be carried over into the record.
File + Item	G	Conditions governing access	**ISAD(G) element 4.2: Conditions governing access**
File + Item	T	Management table	Communicability control table-related
File + Item	L	Communicability	
File + Item	T	Authorised entities	User Groups table-related
File + Item		Notes on communicability	
File + Item	G	Record confidentiality	
File + Item	L	Confidential record	
File + Item	T	Authorised entities	User Groups table-related
			ISAD(G) element 4.3: Copyright/Conditions governing reproduction
			Any pertinent information will be contained in the relevant entry to the management table, and it does not need to be carried over into the record.
			ISAD(G) element 4.4: Language of material
Item	G	Language of material	
Item	L	Languages kept	Multiple-value field
Item	L	Original language	
File		Language of material	
File + Item		Physical characteristics	**ISAD(G) element 4.5: Physical characteristics**
File	G	Finding aids	**ISAD(G) element 4.6: Finding aids**
File	BR	**** **** **** ****	Instance separator in repeatable block
File	L	Type of aid	
File	L	Medium	
File + Item	G	Allied materials	**5th ISAD(G) area – ALLIED MATERIALS**
Item		Location of original	**ISAD(G) element 5.1: Location of originals**
Item	G	Other media	**ISAD(G) element 5.2: Existence of copies**
Item		Microfilm	
Item		Microfiche	
Item		Electronic (external)	
File + Item	G	Related units of description	**ISAD(G) element 5.3: Related units of description in the archives service**
File + Item	T	See also ...	
File		Other sources	**ISAD(G) element 5.4: Allied materials in other services**
File		Publication note	**ISAD(G) element 5.5: Publication note**
File + Item	G	Notes	**6th ISAD(G) area – NOTES**
File + Item		Additional notes	**ISAD(G) element 6.1: Note**

Authority table in line with ISAAR(CPF) standard – Corporate Bodies and Persons

(approximately 5 000 records)

T – Table-related field (table specified if it is not the same)
L – List-related field
G – Designation of a group of fields
BR – Repeatable block of fields

Use		Fields	Remarks
Corp. Body + Person		Record number	
Corp. Body + Person		Creation date	
Corp. Body + Person	T	Creating archivist	User table-related
Corp. Body + Person		Revision date	
Corp. Body + Person	T	Revising archivist	User table-related
Corp. Body + Person	G	CFP authorities	Table name (Designation of group of fields)
Corp. Body + Person	G	Type of authority	**1st ISAAR(CPF) area – AUTHORITY CONTROL**
Corp. Body + Person	G	Identification code	**ISAD(G) element 1.1: Identification code**
Corp. Body + Person	L	Country code	
Corp. Body + Person		Service responsible	
Corp. Body + Person		Identification number	
Corp. Body + Person		Identification code	
Corp. Body + Person	G	Type of authority record	**ISAAR(CPF) element 1.2: Name**
Corp. Body + Person	L	Authority type	
Corp. Body + Person	L	Authority sub-type	
Corp. Body + Person	G	Authority entry	**ISAAR(CPF) element 1.3: Authority entry**
Corp. Body + Person		Name of corporate body/person	The designation will be tailored automatically to the authority type.
Corp. Body + Person		Code	
Corp. Body + Person		Descriptors	
Person		Gender	
Corporate body	G	Parallel entries	**ISAAR(CPF) element 1.4: Parallel entries**
Corporate body		**** **** **** ****	Instance separator in repeatable block
Corporate body	L	Language	
Corporate body		Name of corporate body	
Corp. Body + Person	G	Non-preferred terms	**ISAAR(CPF) element 1.5: Non-preferred terms**
Corp. Body + Person	BR	Name	
Corp. Body + Person	G	Related entries	**ISAAR(CPF) element 1.6: Related authority entries**
Corp. Body + Person	BR	See also	
Corp. Body + Person	G	Information	**2nd ISAAR(CPF) area – INFORMATION**
			[2.1 Corporate bodies; 2.2 Persons; 2.3 Families]
Corporate body	G	Legal number	**ISAAR(CPF) element 1.6: Legal number**
Corporate body		Legal number	
Corporate body		Legal number type	
Corporate body	G	Other names	**ISAAR(CPF) elements 2.1.2, 2.2.2 and 2.3.2 : Other names**
Corporate body	G	Provenance	
Corporate body	L	Mode	
Corporate body	T	Origin	Multiple-value field
Corporate body		Date	
Corporate body		Comments	
Corporate body	G	Changes to	
Corporate body	L	Mode	
Corporate body	T	Successor	Multiple-value field
Corporate body		Date	
Corporate body		Comments	
Corp. Body + Person	G	Date(s) and Place(s) of existence	**ISAAR(CPF) elements 2.1.3, 2.2.3 and 2.3.3: Date(s) and Place(s) of existence**
Corporate body	BR	**** **** **** ****	Instance separator in repeatable block (corporate bodies)
Corp. Body + Person		Start date/Date of birth	The designation will be tailored to the authority type.
Corp. Body + Person		End date/Date of death	The designation will be tailored to the authority type.

Use		Fields	Remarks
Corp. Body + Person	L	Place	
Corp. Body + Person	L	Country	
Corp. Body + Person		Comments	
Corp. Body + Person	G	Business location/Place of residence	**ISAAR(CPF) elements 2.1.4: Business location; 2.2.4: Place of residence; 2.3.4 : Places**
Corp. Body + Person	BR	**** **** **** ****	Instance separator in repeatable block. The group name will be tailored to the Type.
Corp. Body + Person	L	Place	
Corp. Body + Person	L	Country	
Corp. Body + Person	G	Legal status	**ISAAR(CPF) elements 2.1.5: Legal status; 2.2.5 and 2.3.5: Nationality**
Corporate body		Legal status	
Corporate body		Notes on status	
Person	L	Nationality	
Corp. Body + Person	G	Mandate/Occupation or Sphere of Activity	**ISAAR(CPF) elements 2.1.6: Mandate, responsibilities, sphere of activity; 2.2.6 and 2.3.6: Occupation, sphere of activity**
Corporate body		Responsibilities	
Person	G	Political role	
Person	BR	**** **** **** ****	Instance separator in repeatable block
Person	L	Position	
Person		Start date	
Person		End date	
Person	G	Political affiliation	
Person	BR	**** **** **** ****	Instance separator in repeatable block
Person	T	EP political group	
Person		Start date	
Person		End date	
Corporate body		Administrative structure	**ISAAR(CPF) elements 2.1.7: Administrative structure; 2.3.7: Branch structure**
			'Branch structure' is not included in the CPF Authorities table.
Corporate body	G	Relationships	**ISAAR(CPF) elements 2.1.8, 2.2.8 and 2.3.8: Relationships**
Corporate body	T	Comes under	
Corporate body	T	Comprises	Multiple-value field
Corporate body		Application note	
Corp. Body + Person		Other significant information	**ISAAR(CPF) elements 2.1.9, 2.2.9 and 2.3.9: Other significant information**
Corp. Body + Person	G	Notes	**3rd ISAAR(CPF) area – NOTE**
Corp. Body + Person		Archivist's note	**ISAAR(CPF) element 3.1: Archivist's note**
Corp. Body + Person		Rules	**ISAAR(CPF) element 3.2: Rules**
Corp. Body + Person	G	Dates	**ISAAR(CPF) element 3.3: Date**
Corp. Body + Person		Creation date	Automatic. Created from the equivalent common field.
Corp. Body + Person		Revision date	Automatic. Created from the equivalent common field.

Procedure table

(approximately 2 600 records)

T – Table-related field (table specified if it is not the same)
L – List-related field
G – Designation of a group of fields
BR – Repeatable block of fields

	Fields	Remarks
	Record number	
	Creation date	
T	Creating archivist	User table-related
	Revision date	
T	Revising archivist	User table-related
G	Procedure	Table name (Designation of group of fields)
	Procedure number	
	Former procedure number	
	Type of procedure	
G	Reference documents	
BR	**** **** **** ****	Instance separator in repeatable block
	Legal basis	
	Initial legal basis	
L	External document type	
	External document number	
	Session document number	
	Date	
G	Titles	
BR	**** **** **** ****	Instance separator in repeatable block
	Language	
	Title	
G	Acts adopted	
BR	**** **** **** ****	Instance separator in repeatable block
	Number	
	Date	
	OJ publication	
G	Overview of the procedure	
BR	**** **** **** ****	Instance separator in repeatable block
	Language	
	Abstract	

Rules of Procedure table

(approximately 2 300 records)

T – Table-related field (table specified if it is not the same)
G – Designation of a group of fields
BR – Repeatable block of fields

	Fields	Remarks
	Record number	
	Creation date	
T	Creating archivist	User table-related
	Revision date	
T	Revising archivist	User table-related
G	Rules of Procedure	Table name (Designation of group of fields)
	Version	
	Date of adoption	
	Chapter	
	Rule number	
	Rule heading	
	Entry into force	
T	Replaces	
T	Replaced by	
	Validity end date	
	Notes on changes	
G	Paragraph	
BR	Number	
	Text	
	Interpretation	
T	Citation	
	Notes	

Eurovoc Descriptors table

(6 414 records)

T – Table-related field (table specified if it is not the same)
G – Designation of a group of fields
BR – Repeatable block of fields

	Fields	Remarks
	Record number	
	Entered on	
T	By	User table-related
G	Eurovoc descriptors	Table name (Designation of group of fields)
	Descriptor	Descriptor in French
	Eurovoc number	
G	Non-preferred terms (FR)	
BR	Non-preferred term (FR)	
T	Generic term	
T	Specific term	
T	Related term	
	Application note (FR)	
	Notes(FR)	
	Other-language equivalent	Descriptor in English
G	Non-preferred terms (EN)	
BR	Non-preferred term (EN)	
	Application note (EN)	
	Notes (EN)	

Annex I.2: The European Parliament's IT environment

Directorate-General for Innovation and Technological Support
Directorate for Development and Support
Directorate for Infrastructure and Equipment

The European Parliament's

IT environment

Template last updated: 01/09/2008 version: 3.0

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Created on	01/01/2007	last updated	03/09/2014
Document status	Validated	Version	11
Author	DG ITEC-ESIO-STANDARDS		

APPROVAL

Name	Role	Date Approval	Approval Y/N	Address DG or Company
STANDARDS	Responsible	03/09/2014	Y	DG ITEC - ESIO

CIRCULATION

Name -Telephone number		DG or Company	ERICA[1] code

UPDATES

Version	Date	Sections changed	Description	Author(s)
1.0	01/01/2007	All	Creation	ISP
2.0	04/05/2007	All	Update of all sections	ISP
3.0	23/11/2007	All	Update of all sections	ISP
3.1	07/08/2008	All	Structure update	ISP
3.2	12/08/2008	All	Update of all sections	ISP
3.3	30/03/2009	All	Update of all sections	ISMS
3.4	14/05/2010	3.4 Workstations	Workstation hardware specs.	ISMS
4.0	24/01/2011	All	Update of all sections	ISMS
5.0	28/09/2011	All	Update of all sections	ICTAS
6.0	11/06/2012	All	Update of all sections	ICTAS
7.0	01/03/2013	All	Update of all sections	ICTAS
8.0	01/08/2013	All	Update of all sections	STANDARDS
9.0	24/01/2014	All	Update of all sections	STANDARDS
10.0	11/03/2014	5 Directorate's recommendations and strategic guidelines	5.1 Main Standard	STANDARDS
11.0	03/09/2014	All	Update of all sections	STANDARDS

[1] **E**: Examination, **R**: Responsible, **I**: Information, **C**: Contribution, **A**: Approval

TABLE OF CONTENT

1. GENERAL INTRODUCTION

1.1. Purpose

The main objective is to present the European Parliament's IT environment.

1.2. Glossary

Abbreviation	Description
DG ITEC	Directorate General for Innovation and Technological Support
DES	Directorate for Development and Support
ESIO	Directorate for Infrastructure and Equipment
DIT	Direction for information Technologies (Direction split into two directions DES and ESIO)
HOSTING	Operations Hosting
EP	European Parliament
Europarl	European Parliament's website www.europarl.europa.eu
METHODS	Engineering, Methods and Solutions Department
STANDARDS	Methods, Standards and ICT Security Unit
LSA	Local System Administrator
LSU	Local Support Unit
RHEL	RedHat Enterprise Linux

2. CONTEXT

2.1. Main Parliament sites

Parliament has three main sites:

- **Strasbourg**, where ordinary part-sessions are held (one week a month on average);
- **Brussels**, which mainly hosts parliamentary committee meetings and the political groups; the additional part-sessions are held there; MEPs' offices, political group secretariats and some Parliament Secretariat departments are located there;
- **Luxembourg**, where the other Parliament Secretariat departments are located.

In those three cities, Parliament occupies a number of buildings containing offices and meeting rooms; it also has information offices in all EU Member States.

Mobility is a major feature of Parliament's working environment and comes into play at various levels:

- between the main sites - Brussels, Luxembourg and Strasbourg - depending on the Parliament activity concerned;
- within each site, all of which are made up of a number of buildings;
- between premises, within EU Member States, which may or may not be owned by Parliament;
- more globally for specific user categories (nomadic workers or teleworkers).

2.2. IT organisational setup

The information and communications technologies used within Parliament are provided by the Directorate-General for Innovation and Technological Support (ITEC), through its two directorates - Directorate for Development and Support (DES) and – Directorate for Infrastructure and Equipment (ESIO).

DES and ESIO operate in the context of partial IT decentralisation, combining what they contribute centrally with what IT teams contribute locally, within directorates-general (DGs) and political group secretariats, to the running of Parliament's information and communications systems.

IT management at departmental level (DGs and political groups) is handled by Local Support Units (LSU). Each LSU is administered by a Local System Administrator (LSA) team.

DG ITEC/DES and DG ITEC/ESIO 's central-level responsibilities are:

- to devise and grow infrastructure and architecture facilities (servers, work stations, networks, telecoms, security, etc.);
- to lay down methodological and technical rules and standards and verify compliance with them;

- to look for, test and implement new hardware and software solutions;
- to develop and maintain central applications intended for all in-house and external users (Intranet and Internet respectively) and central applications intended for a number of organisational units (DGs, political groups, directorates, units, services, etc.);
- to provide LSA teams and end users with general second-level hardware and software support.
- to provide first level hardware and software support to end users in specific parts of the EP end users populations (eg MEPs, certain DGs, special services).

LSA teams' responsibilities are:

- to manage departmental equipment (departmental servers, work stations, peripherals, etc.);
- to develop and maintain departmental applications intended for users within the same organisational unit;
- to provide end users with first-level hardware and software support (if not provided by DES).

3. IT ENVIRONMENT

3.1. Network infrastructure

Parliament currently has a routed TCP/IP network infrastructure.

3.1.1. Local Area Networks (LAN)

The following LAN technologies are used at present:

- Switching Ethernet
- VLAN
- Fast Ethernet / Gigabit Ethernet / 10 Gigabit Ethernet

3.1.2. Wide Area Networks (WAN)

Parliament's main sites - Brussels, Luxembourg and Strasbourg - are interlinked via a WAN designated EPINET HD with roughly 1 Gbit to 10 Gbit (on specific links) TCP/IP throughput.

Parliament has various resources for external communications:

- Internet;
- Network interlinking the European Institutions and the Member States.

3.1.3. Building wiring

IT wiring in all Parliament buildings is based on the following rules:

- horizontal cabling: multipurpose wiring, four twisted pairs, Category 5, 6, 6A or 7;
- vertical cabling: multi-mode optical fibre / monomode optical fibre / twisted pairs.

At the Brussels, Luxembourg and Strasbourg sites, copper wiring and optical fibres (single-mode and multi-mode) are the main media used for interconnecting buildings.

3.1.4. Network administration

Administration of Parliament's network is handled via redundant stations at each site.

3.2. Telephony

The migration of Ericsson MD110 based classical telephony to Cisco CUCM based ToIP telephony is scheduled for termination by end of the first quarter of 2015. On the three main sites of European Parliament, all phone sets of type "office" should be migrated by end of the first quarter of 2014. The rest of 2014 wll be dedicated to the migration of special applications: fax machines, corridor phones, elevator phones, the phone sets used in the information offices. European Parliament's call centers are migrated to the Cisco UCCX solution. The "telephony switchboard" function of European Parliament is based on JDM Software's PeterConnects solution.

3.3. Servers

3.3.1. Servers for centralised IT management in Parliament

ESIO's computer centre houses Windows, UNIX and LINUX servers for centralised IT management in Parliament. The servers provide the following services:

- **Windows servers**:
  - File servers, terminal server, system supervision;
  - Logon validation services (Active Directory), DNS, DHCP, folder replication, data transfer, remote access services via Windows Terminal Services, application servers;
  - E-mail, Europarl Intranet/Internet;
- **UNIX servers**:
  - Database servers (Oracle, Adabas), file servers, web servers, application servers, backup servers;
  - DNS and LDAP directory services;
  - SSO authentication and authorization;
  - Europarl Intranet/Internet, centralised-application hosting.
- **LINUX servers**:
  - RedHat Enterprise Linux (RHEL).

The computer centre also has NAS and SAN storage infrastructure.

The following table sets out Parliament's standard hardware and software configurations for servers and gives some indication of trends:

Hardware	**Current minimum configurations**	**New configurations / developments**
VMware servers:	x86 (AMD and Intel) Quad-Core, 2 to 8 processors x86 (Intel) 8-Core Quad-processor	New processor generation with higher clock rates
Windows servers:	x86 (AMD and Intel) Dual-Core and Quad-Core, 8 and 16 processors x86 (Intel) 8-Core Dual-processor Blade	New processor generation with higher clock rates

UNIX servers:	SPARC64 VI and SPARC64 VII AMD Opteron Quad-Core dual processor and Quad processor	No extension planned New processor generation with higher clock rates

Software	**Current configurations**	**Developments / Trends**
Operating system:	Windows 2003 (phase out) Windows 2008 r2 Enterprise 64 Bits	Windows 2012 r2 Enterprise 64 Bits
	RHEL 5 (phase out) RHEL 6	RHEL 6
	SUN Solaris 10 SPARC and X86	X86
Database Management System (DBMS):	Oracle 10.2.0.5 (phase out) Oracle 11g R2 * including Binary XML * including Semantic Technologies (Triple Store)	Oracle 12c
	Adabas V5.1.7 Adabas V6.1.4	No extension planned
Application server:	JBoss AS 4.2.3 (phase out) Tomcat 6.0.36	Tomcat 7.0
Messaging server	HornetQ 2.2.x	
Web server:	IIS 6 (Windows 2003)(Phase out) IIS 7 (Windows 2008 R2) Apache Httpd 2.4.x(restricted use)	
Reporting and analysis tool:	Business Objects XI Release 2 SP6	SAP BI 4.0
Business Process Management (BPM):	ARIS Design Platform 7.2: • ARIS Business Server	

	• ARIS Business Designer • ARIS Business Architect • ARIS Business Publisher • ARIS Process Governance • ARIS Process Performance Manager	
Unified Modeling Language 2.1 tool (UML)	Magic Draw 17. x	
Mcafee Anti-virus solution	Viruscan Enterprise 8.8	HIPS 8.0 for server and future evolutions of Viruscan Enterprise
Document conversion	Adlib Express Server 4.11 OpenOffice 4.x	Adlib Express Server 4.12

3.3.2. Servers to cover departmental needs

Windows, UNIX and LINUX servers are accommodated in the DGs and political groups, to cover departmental needs. The servers provide the following services:

- **Windows servers**:
  - Database servers (Oracle), file servers, print servers, web servers, application servers;
- **UNIX servers**:
  - Database servers (Oracle), application servers, web servers;
- **LINUX servers**:
  - RedHat Enterprise Linux (RHEL),
  - Database servers (Oracle, postgresql),
  - Application servers, Web servers (Apache, JBoss, Tomcat)
  - File servers, Print servers (samba, nfs, cups)

Hardware	**Current minimum configurations**	**New configurations / developments**
Windows and Linux servers:	x86 (AMD and Intel) 2 to 8 Cores Dual-processor, x86 (AMD and Intel) 2 to 6 Cores Quad- processor	New dual processor generation with higher clock rates

Software	Current configurations	Developments / Trends
Operating system:	Windows 2003 SP2 (phase out) Windows 2008 r2 Enterprise 64 Bits	Windows 2012 r2 Enterprise 64 Bits
	Red Hat Enterprise Linux 5 (phase out) Red Hat Enterprise Linux 6	Red Hat Enterprise Linux 7
Database Management System (DBMS):	Oracle 10.2.0.5 (phase out) Oracle 11g R2 * including Binary XML * including Semantic Technologies (Triple Store) PostgreSQL 8.1 PostgreSQL 9.1 CouchDB 1.2.0 (restricted use)	Oracle 12c PostgreSQL 9.3+
Application server:	JBoss AS 4.2.3 (phase out) Tomcat 6.0.36	Tomcat 7.0
Messaging server	HornetQ 2.2.x	
Web server:	IIS 6 (Windows 2003) (Phase out) IIS 7 (Windows 2008 R2) Apache Httpd 2.4.x (restricted use)	

With regard to software, Parliament is taking an **open source solution** approach whenever possible. Special arrangements governing the acquisition and use of open source software are submitted for validation.

Tools are used for server administration, supervision and backup at central and departmental level.

3.4. Workstations

Parliament's workstations run in a Windows environment. Users and resources are managed through one specific Active Directory domain. A DNS structure is used for name resolution.

In order to meet specific needs with regard to applications, together with management, security and portability requirements, Parliament has defined a standard configuration seeking to make workstations totally user-independent and give users an enhanced level of service based on the portability of their parameters and documents.

The following table sets out Parliament's standard hardware and software configurations for work stations and gives some indication of trends:

Hardware	**Current minimum configurations**	**New configurations / developments**
	AMD Athlon64 X2 4450B (2,3Ghz), 2 GB, HD 80 GB, NIC 10/100/1000, DVD-ROM, USB	Intel Celeron CPU G540 (2,5GHz); 4 GB, HD 250GB, NIC 10/100/1000, DVD-ROM, USB

Software	**Current configurations**	**New configurations / developments**
Operating system:	Windows Seven 64 bits SP1	Windows Seven 64 bits SP2
Office suite:	Office 2010 32 bits SP1	Office 2010 32 bits SP2
Mail user agent:	Outlook 2010 32 bits SP1	Outlook 2010 32 bits SP2
Web client:	Internet Explorer 9 FireFox 22.0	
McAfee anti-virus solution	VSE 8.8 and HIPS 8.0 for Workstations	Evolutions of VSE and HIPS

4. ENVIRONMENTS FOR DEVELOPMENT OF CENTRALISED APPLICATIONS

For centralised applications hosted at the ESIO's computer centre, the following environments are provided:

4.1. Development environment

A development environment with the following components:

- **Servers**: server development instances (for application servers, Oracle database servers and source management servers), development of servers shared by various environments (LDAP directory);
- **Developer stations**: work stations with a standard configuration including the development platform.

4.2. Pre-production environment

A dedicated pre-production environment for tests to validate an application (user acceptance tests and integration tests, applications load tests and vulnerabilities tests) before any move to go into production. This environment, which is similar to the production environment, is made up of the following components:

- **Servers**: server pre-production instances (for application servers, Oracle database servers and source management servers), development of servers shared by various environments (LDAP directory); the move from the development environment to the pre-production environment, where an application is deployed on pre-production servers, is handled by the computer centre;
- **Tester stations**: work stations with a standard configuration including tools for validating an application before any move to go into production.

4.3. Production environment

A production environment fully managed by the computer centre, with the move from pre-production to production environment, where an application is deployed on production servers, being handled by the computer centre.

4.4. Other environments

A dedicated training environment is also available, as is a data warehouse.

At the server end and at the developer/user work station end, the configuration parameters for each environment and their upgrades are defined by the computer centre and by the ESIO's STANDARDS Unit respectively.

5. DIRECTORATES' RECOMMENDATIONS AND STRATEGIC GUIDELINES

In general, the applications base is evolving in a light web client direction. Heavy client applications are being phased out in favour of the light client model. Man-machine interfaces must comply with the ergonomic standards laid down by DES and ESIO.

5.1. Main Standard

The main standard facilities opted for by DES and ESIO are:

- Oracle (DBMS used at central and departmental levels),
- PostGreSQL,
- Apache CouchdB (for now with restricted use),
- Tomcat (Servlet 2.5 / JSP 2.1),
- EP Foundry Eclipse Platform (standard IDE for JEE development based on Eclipse and a standard set of add-ons),
- UML 2.1 modeler Magic Draw,
- ARIS Design Platform (Business Process Management and Modelling Tool),
- Business Objects (reporting and analysis tool),
- Jahia (multilingual application portal server/ CMS),
- Atlassian Confluence (WiKi),
- Atlassian JIRA (Project tracking),
- Linux RedHat,
- McAfee anti-virus solution: VSE 8.8 and HIPS 8.0,
- Adlib express server,
- OpenOffice (server side),
- SharePoint with Out Of The Box features restricted to collaborative needs of European Parliament.

DES and ESIO pay the utmost attention to multi-platform usability of applications and to compliance with the methodologies, rules and standards it lays down.

5.2. Methodological Recommendations

DES and ESIO have implemented the following:

- A methodological framework (EPMF) which includes a set of specific methods:
  - A modelling and business analysis method (**BPMM4EP**)

- **BPMM4EP** is supported by a set of templates, guides or procedures and by specific workshops.

o A method for the program management (**PP04EP**) based on " The standard for Program Management Second Edition";

- **PPO4EP** is supported by a set of templates, guides or procedures and by specific workshops.

o A method for the project management **(PMM4EP)** based on the PMBok (Project Management Body of Knowledge) of **PMI** (Project Management Institute); a version Agile based on SCRUM is available;

- **PMM4EP** describes several lifecycles in function of the initial risk level;
- **PMM4EP** is supported by a set of templates, guides or procedures and by specific workshops.

o A method for the IT contract management **(CM4EP)** based on PMBok and integrated within **PMM4EP**;

- **CM4EP** is supported by a set of templates, a guide and a procedure.

o A method for the Workload Estimation (**WEM4EP)** based on ISO standards (Function Point Analysis (FPA), NESMA, IFPUG). The first implementation of **WEM4EP**, "indicative estimation", is based on the 'Business Case' that comes out of the BPM phase and is obtained by completing an on line form.

o A method for the Quality management of IT projects (**QA4EP**), based on a quality framework ('MAQ' – Quality assurance manual) and a quality assessment tool (**QA**);

- A specific support may be requested to help the Project Manager to maintain and improve the quality of his project.

o An approach for the **Risk Management** during the whole project lifecycle (**PMM4EP**), based on the PMBok principles;

- The risk Management is supported by specific tools at the various moments of the risk lifecycle: Initial Risk Assessment (**IRA**) when the project global risk is assessed for the first time, and **Project dashboard** for a qualification and a rigorous follow-up of each individual risk all along the project. A **guide** on the risk management is also available.

o **SOA4EP** is the methodological approach to design Service Oriented Architectures based on three pillars, technological, methodological and organizational prevailing in the design and implementation of IT applications

All necessary information on the DES and ESIO's recommendations and strategic guidelines will be provided to the successful bidder.

5.3. Security at EP

The end-point security solutions working in EP are:

1. McAfee Viruscan Enterprise 8.8

This software is an anti-virus including access protection feature and the classical file scanning

2. HIPS 8.0 from Mcafee

This software is a Host Intrusion Prevention System which completes the anti-virus.

These software are a compulsory part of EP the Standard Configuration. The compatibility of any software with the Mcafee solution must be checked as a pre-condition of any new project.

Annex I.3: The European Parliament's environmental policy

ЕВРОПЕЙСКИ ПАРЛАМЕНТ PARLAMENTO EUROPEO EVROPSKÝ PARLAMENT EUROPA-PARLAMENTET
EUROPÄISCHES PARLAMENT EUROOPA PARLAMENT ΕΥΡΩΠΑΪΚΟ ΚΟΙΝΟΒΟΥΛΙΟ EUROPEAN PARLIAMENT
PARLEMENT EUROPÉEN PARLAIMINT NA hEORPA PARLAMENTO EUROPEO EIROPAS PARLAMENTS
EUROPOS PARLAMENTAS EURÓPAI PARLAMENT IL-PARLAMENT EWROPEW EUROPEES PARLEMENT
PARLAMENT EUROPEJSKI PARLAMENTO EUROPEU PARLAMENTUL EUROPEAN
EURÓPSKY PARLAMENT EVROPSKI PARLAMENT EUROOPAN PARLAMENTTI EUROPAPARLAMENTET

THE EUROPEAN PARLIAMENT'S ENVIRONMENTAL POLICY

The European Parliament recognises that it has a duty to make a positive contribution to sustainable development as a long-term goal, not only through its political role and its role in legislative procedures, but also in the context of how it operates and the decisions that it has to take on a day-to-day basis.

The European Parliament has therefore decided that its Administration will embark on the path of applying the EMAS (Eco-Management and Audit Scheme) standard, with the aim of continually improving its environmental results with regard to activities, products and services.

In doing so the European Parliament hereby undertakes to:

- *reduce carbon dioxide emissions*
- *promote the efficient use of energy, water and paper*
- *introduce best practices with regard to waste management*
- *incorporate environmental guidelines into procurement procedures*
- *encourage responsible and appropriate behaviour by training, providing information and increasing the awareness of all its staff, Members and their assistants about those aspects of their activities relating to the environment*
- *take preventive measures to counter pollution*
- *ensure compliance with requirements laid down by environmental legislation and regulations*
- *ensure that everyone within Parliament is committed to EMAS and to the measures to improve the environment which it entails*
- *provide sufficient resources for its environmental management system and activities relating thereto*
- *promote transparent communication and dialogue with interested parties, both internally and externally.*

The European Parliament undertakes to describe, implement and pursue its environmental policy, to communicate it to its Members, its staff, its contractors and any other interested parties and also to make it accessible to the public.

The European Parliament's environmental policy is implemented through its environmental management system. The environmental policy and the environmental management system cover the main environmental aspects, both directly and indirectly, as well as their impact on the sites concerned, and make it possible to establish corresponding objectives.

Jerzy BUZEK, President
Brussels, 28 September 2010

EMAS
Verified environmental management
REG.NO. BE-BXL-000013
REG.NO. LU-000002
REG.NO. FR-000051

Klaus WELLE, Secretary-General
Brussels, 28 September 2010

Environmental protection (EMAS) in the European Parliament buildings

For staff of companies working for the European Parliament

What is EMAS?

EMAS is the system used by the European Parliament (EP) to **reduce the impact of its activities on the environment**. EMAS is an environmental management system (EMS) based on ISO standard 14001:2004 and EMAS regulations 1221/2009. The Parliament began to apply EMAS following a Bureau decision in 2004.

Signing of the EMAS policy on 28 September 2010

The President and the Secretary-General of the EP signed the EMAS policy. This document committed the Parliament to continually reducing its impact on the environment in areas such as the production of office and kitchen waste, the handling of dangerous substances, CO_2 emissions to fight global warming, energy, water and paper consumption, respect for environmental legislation, staff training etc.

How can my company contribute to improving the environment at the European Parliament?

You contribute by respecting current environmental legislation, as well as all environmental instructions and procedures. Your company should ensure that all staff who perform tasks which have a significant environmental impact have received the necessary training. Your company therefore plays an essential part in improving environmental quality at the EP.

Our environmental commitment is also set out in the obligations that appear in our new contracts: '*The contractor undertakes to respect (…) the environmental characteristics of the contract and any other similar condition imposed by the specification and explained, where necessary, in the contractor's tender. The European Parliament reserves the right to carry out any checks and inspections direct with the contractor, necessary to ensure that the environmental requirements imposed are being respected (…) Any failure on the part of the contractor to comply with the environmental obligations imposed or any refusal to be checked by the European Parliament or a duly authorised body will allow the European Parliament to terminate the contract*'.

If you use substances that are dangerous for the environment, you are obliged to respect the legislation in force and to know the EP's environmental procedures. For more information, please consult your contact at the European Parliament.

If you are in one of our buildings and you discover an accident with significant environmental consequences (such as a fire, explosion, leak of water, fuel oil, gas, oil or any other dangerous substance), please inform the Security Service (☎ 85112). The same number can be used for medical emergencies.

We are grateful to the European Parliament's contractors and subcontractors for their valuable contribution to the sorting, storage and recycling of waste. We would remind you of the importance of sorting waste properly and kindly request that you make your colleagues aware of the importance of your role for the environment.

And what can my company do if it causes other types of environmental damage?

If your company's activities for the European Parliament cause other types of environmental damage (consumption of paper, fuel, electricity, water, production of other types of waste etc.) you can consult your contact at the European Parliament in order to try and improve your environmental performance (the EMAS coordination team will also be happy to help you).

Some tips for every day:

Save water. Turn the tap off completely and alert the appropriate department if you discover a leak.

Save energy. Turn off the light when it isn't needed and save electricity.

Take the stairs instead. It's better for your health and better for the environment!

Recycle your waste. Please collect your waste and use the appropriate bins. Waste which isn't sorted cannot be recycled!

Use public transport for your journeys. Transport is one of the largest sources of CO_2 emissions.

Has the European Parliament already made real progress for the environment? The EP has long been working to improve the environment. Here are some of its achievements:

- The EP has undertaken to **reduce** its **CO_2 emissions by 30%** by 2020.
- The Parliament **sorts and recycles its waste**, paying special attention to **hazardous products**.
- The Parliament uses **electricity** from **100%** renewable sources, at all three of its sites.
- The EP integrates **environmental clauses** into its public procurement contracts.

Did you know that the Parliament has obtained EMAS and ISO 14001:2004 certification? So external environmental audits will be carried out each year and your involvement in the environmental management system will also be evaluated.

ISO 14001:2004

EMAS
Verified environmental management
REG.NO. BE-BXL- 000013
REG.NO. LU- 000002
REG.NO. FR- 000051

EMAS is you!

EMAS-214

We look forward to your proposals and suggestions at emas@europarl.europa.eu or on ; ☎ (+352.4300) 22500

Annex II: Service level requirements (SLA)

EUROPEAN PARLIAMENT

PE/ITEC-CLAVIS14

Requirements relating to service levels (SLA)

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1. GENERAL

1.1. Definitions

European Parliament: the contracting authority and coordinating authority for requirements relating to service levels (SLA)

Service Provider: the successful tenderer

Local Support Unit (LSU): Each directorate-general and political group at the European Parliament has its own level one service providing support for the IT equipment and applications it uses. These teams have the access rights they need to provide IT hardware and software support. If required, the Directorate general for innovation and technological support (DG ITEC) is on hand to provide level two support with a view to solving the problem concerned.

Supplies and Services: the software requested in the invitation to tender, subsequent updates, and all allied services requested in the invitation to tender.

Working days: Monday to Friday, except official public holidays in the countries concerned and official European Parliament office closing days.

Quarter: the three-month period beginning on the first day of the month following the date on which this contract is signed.

1.2. Purpose

The aim of this document is to describe the minimum requirements relating to service levels, as well as the penalties applicable, so as to ensure that the European Parliament is provided with the high-quality services it expects. The rules set out in this document apply to the service provider, to the European Parliament, and, where appropriate, to the LSU concerned.

This multi-party approach means that tasks have to be synchronised. Several systems will need to be implemented in order to enhance and maintain the very highest level of quality.

This document covers all the activities involved, from requests for delivery and/or assistance to maintenance of supplies. Most of the tasks are described as concisely as possible, with clear, strict outlines of the service levels required from those involved.

2. SCOPE OF THE SERVICE LEVEL

2.1. Administrative services

The Service provider shall provide the services described in this section, including all costs, via purchase order form or specific contract, as long as the software is under warranty or covered by the maintenance contract.

2.1.1. Delivery of supply

Service level required	The Supply part of the invitation to tender consists in the set-up of a historical and document management solution which can ensure at the very least the functions of the current system plus new features including bilingualism, and the recovery of the current data and documents. The delivery of supply may only take action at the express request of the European Parliament. A **Technical annex** must be drawn up specifying: – Context – Description of the supply – Details about "deliverables" (different phases, tests, …) – Other precisions for supply o Date of delivery/time limit for delivery: (mandatory) o Special conditions of delivery. Any delivery in response to a request for the delivery of supply must be provided at the date of delivery. Within one month following completion of the delivery of supply, the parties shall draw up an acceptance sheet, provided that, after relevant tests have been carried out, the supply is shown to be consistent with the **Technical annex**. If the European Parliament is unable to declare final acceptance of all or part of the supply delivered, it must set out its reservations in the report referred to above. The Service provider shall be required to respond to the European Parliament's reservations by performing work which are consistent with this contract, at the earliest opportunity after the report containing the reservations is drawn up. Final acceptance shall be declared only if the supply delivered complies with the **Technical annex** and the contract.
Measurement method	The dates specified on the order forms or the specific contracts.
Penalties and remedial action	The European Parliament reserves the right to apply the penalties described below. In the event of a failure to meet the schedule set out in the **Technical annex**, or if, before the final signature of the Acceptance Sheet, the initial date for final acceptance is not met the European Parliament may apply a penalty of 0.2 % of the value of order form or specific contract per calendar day of delay from the date on which the service provider is notified of the delay by registered letter with acknowledgement of receipt. The maximum penalty shall be limited to 50 % of the value of the order form or specific contract.

2.1.2. Administrative management

Service level required	The service provider must keep a product and service management register. This register must contain the following information: – Licence number / Updates – Type of services carried out – Associated order (date, number, amount, delivery location) – Associated maintenance document – Service history The service provider must supply statistics from this register each time the European Parliament asks for them, and at least once per year.

2.2. Maintenance

This section outlines the terms and conditions under which the service provider will provide a telephone helpline and software maintenance service for the duration of the contract.

2.2.1. Corrective maintenance and updates

Procedure	The European Parliament requires receiving a software maintenance service for the duration of the contract. This means enhancing or improving the running of the software concerned by making corrections or by installing subsequent versions (releases), and helping to ensure the software is being used correctly and optimally by providing advice, information, diagnostics, etc. There are two release types: **Type 1 release** (minor update): new version of the software that corrects existing errors. **Type 2 release** (major update): new version of the software that makes major improvements to the services, performance and/or functionalities of the product.

Service level required	Each update proposed by the publisher will be subject to the prior written consent of the European Parliament at least two months before it is put into effect. Delivery of a test version will make it possible for testing to be carried out within the European Parliament's IT environment and for the technical compliance of the software to be assessed. With the users' interests in mind, it may not be possible for the proposed updates to be installed at the European Parliament. In this case, the service provider must continue to provide all the regular services described in the contract connected with the version used by the European Parliament. Before the final delivery of a type 2 release, a demonstration of how to use the new version must be organised in Luxembourg in conjunction with DG EPRS. The service provider must in all cases ensure continued delivery of licences and services connected with the version of the licence held by the European Parliament. The European Parliament may, at any time, request a recent update that had previously been proposed by the service provider and turned down at the time by the European Parliament. User documentation on paper and in electronic format (Word, HTML, etc.) in French or English must be made available in the event of a type 2 release. This documentation must be endorsed by the European Parliament. Software maintenance shall be provided for the duration of the contract, under the terms and conditions set out in the framework contract. Upon expiry of the contract and for the years thereafter, the service provider is requested to give notice of the software maintenance renewal deadline no later than six months before the anniversary date, specifying the amounts to be committed for software maintenance during the following year and the precise terms for the proposed level of software maintenance.
Measurement method	Regular on-the-spot checks will be carried out to ensure compliance.
Penalties and remedial action	The European Parliament reserves the right to apply the penalties described below. The following remedial action will be taken. The service provider will supply the proposed update at the European Parliament's discretion and at no extra cost. Penalties might be applied if there is a break in supply or if there is a failure to comply with the time limits for demonstrating the replacement product. In the event of a failure to comply with the time limit for notification of a software maintenance renewal deadline, the European Parliament may apply a penalty of 0.2 % of the value of the order form or specific contract per calendar day's delay from the date on which the service provider is notified of the delay, by registered letter with acknowledgement of receipt. The maximum penalty shall be limited to 50 % of the value of the order form or specific contract.

2.2.2. Helpdesk

Service level required	The full Service level required is set out in Annex II.1 to this document. The service provider must provide a single telephone number in order to deal with all the technical or operational software problems encountered by users or by teams of technicians responsible for maintaining the software on the European Parliament's platforms. A second telephone number must be provided. Within an hour of the call being made, the service provider must supply, by e-mail or telephone, the open ticket number corresponding to the file on the call. The service provider must supply helpdesk statistics each time the European Parliament asks for them within 48 working hours of the request concerned and at least once per year.
Measurement method	If the telephone service is unavailable, e-mail responses to queries sent by e-mail must be sent within the following 4 working hours.
Penalties and remedial action	The European Parliament reserves the right to apply the penalties described below. If the response times laid down in the maintenance contract are exceeded, or if the product is still not operational (or has not been replaced) within the time limit specified in the contract, or if the e-mail response deadline lapses, the European Parliament may apply a penalty of 0.2 % of the value of order form or specific contract per calendar day of delay from the date on which the service provider is notified of the delay by registered letter with acknowledgement of receipt. The maximum penalty shall be limited to 50 % of the value of the order form or specific contract.

2.2.3. Administrative management of maintenance

Service level required	The service provider must keep a record of the causes of incidents. This information will be discussed at meetings between the parties. Such meetings could take place on a monthly basis. The incident lists will be annexed to the minutes of these meetings. The European Parliament may also request that it be sent this list, extracts thereof, or statistics at any time for the duration of the contract. The service provider will take remedial action if asked to do so.
Measurement method	The European Parliament will carry out conformity checks on the statistics supplied by the service provider.

Penalties and remedial action	The European Parliament reserves the right to apply the penalties described below. To prevent the escalation of incidents, the service provider must take remedial action within no more than 30 working days. The European Parliament may apply a penalty of 0.2 % of the value of order form or specific contract per calendar day's delay from the date on which the Service provider is notified of the delay, by registered letter with acknowledgement of receipt. The maximum penalty shall be limited to 50 % of the value of the order form or specific contract.

2.2.4. Official registration of the licence and updates

Service level required	When delivery is confirmed, the service provider must register the software site licence with the publisher, along with subsequent updates that are delivered. The service provider must also manage the automatic updates provided for in the maintenance contract.
Measurement method	A registration document from the publisher must be provided within 30 working days of delivery confirmation. This document must specify: -the version of the licence held; -the remaining duration of the guarantee; -details of the changes made since the previous version.
Penalties and remedial action	The European Parliament reserves the right to apply the penalties described below. The service provider must remedy the situation, supplying proof that the licence and updates are registered with the publisher. If the response times laid down in the maintenance contract are exceeded, the European Parliament may apply a penalty of 0.2 % of the value of order form or specific contract per calendar day of delay from the date on which the service provider is notified of the delay by registered letter with acknowledgement of receipt. The maximum penalty shall be limited to 50 % of the value of the order form or specific contract.

2.3. Services

This section outlines the terms and conditions under which the service provider will supply a range of services.

2.3.1. Training

Service level required	The service provider must undertake to supply the content of the training courses proposed in its tender at any time for the duration of the contract, within the time limits laid down in the order forms. During performance of the contract, the arrangements for the provision of services may only be amended in writing by mutual agreement between the contracting parties. If a trainer is unable to perform his or her duties for one or more courses owing to sickness or for other duly substantiated reasons, the service provider must notify the European Parliament and undertake to supply a substitute trainer with an equivalent level of knowledge and experience. The service provider must undertake to provide these training courses in French or English at the European Parliament's request, and to supply, during the courses, the relevant course material in French or English. Each course shall have a maximum of eight participants. The courses must take place at the European Parliament's premises in Luxembourg. The service provider must undertake to provide the training courses required on every European Parliament working day, which may include national public holidays. The European Parliament reserves the right to cancel or postpone a service operation without any costs being incurred as long as the service provider is informed at the latest five working days before the scheduled course start date. The European Parliament also reserves the right to refuse to accept a trainer. The service provider must supply training statistics (number and names of participants, course dates, training level and subject matter, etc.) each time the European Parliament asks for them within forty-eight working hours of the request concerned and at least once per year.
Measurement method	The dates specified on the order forms and the dates on which the courses actually took place will be used.
Penalties and remedial action	The European Parliament reserves the right to apply the penalties described below. If the time limits specified on the order form for the training courses required are exceeded, the European Parliament may apply a penalty of 0.2 % of the value of order form or specific contract per calendar day of delay from the date on which the service provider is notified of the delay by registered letter with acknowledgement of receipt. The maximum penalty shall be limited to 50 % of the value of the order form or specific contract.

2.3.2. Consultancy

Service level required	Consultants may only take action at the express request of the European Parliament. A **statement of work** must be drawn up, specifying the nature and objective of the task concerned, the number of days for which services are to be provided and the schedule for providing the work required as agreed in advance. Any action taken by a consultant in response to a request for work must be provided within no more than 10 working days of the initial request. Within 30 working days following completion of the work, the parties shall draw up an Acceptance sheet or a Time sheet or a Subtask form, provided that, after relevant tests have been carried out, the works are shown to be consistent with the **statement of work**. If the European Parliament is unable to declare final acceptance of all or part of the work performed, it must set out its reservations in the report referred to above. The Service provider shall be required to respond to the European Parliament's reservations by performing work which are consistent with this contract, at the earliest opportunity after the report containing the reservations is drawn up. Final acceptance shall be declared only if the work performed complies with the statement of work and the contract.
Measurement method	The dates specified on the order forms or the specific contracts.
Penalties and remedial action	The European Parliament reserves the right to apply the penalties described below. In the event of a failure to meet the work schedule set out in the statement of work, or if, before the final signature of the Acceptance sheet or the Time sheet or the Subtask form, the initial date for final acceptance laid down in the statement of work is not met, or if the 10 working days' time limit for providing a consultant is not met, the European Parliament may apply a penalty of 0.2 % of the value of order form or specific contract per calendar day of delay from the date on which the service provider is notified of the delay by registered letter with acknowledgement of receipt. The maximum penalty shall be limited to 50 % of the value of the order form or specific contract.

2.3.3. On-site Support, external support, emergency support

Same as 2.3.2.

2.3.4. Development

Same as 2.3.2.

3. FUNCTIONAL DESCRIPTION FOR THE SERVICE PROVIDER

In order to ensure the sound management of this project, the service provider must supply the following staff and services as of the date on which the framework contract is signed:

– a project manager, contract supervisor

– an after-sales service and customer assistance centre.

3.1. Project manager

The project manager will liaise between the service provider and the European Parliament and will be in charge of the performance of the framework contract.

The project manager will also be responsible for producing statistics on the contract, drawing up reports with the European Parliament's various technical departments and managing any changes.

The project manager will attend the regular meetings with the European Parliament and will ensure that the European Parliament's expectations are being met. He or she will draw up reports and minutes of meetings and will coordinate presentations and demonstrations. He or she will identify and resolve any contract management problems that occur.

3.2. The after-sales service and customer assistance centre

A single telephone number must be made available for calls relating to any delivery problems and/or technical problems and/or maintenance problems. A second telephone number must be provided for level two support to deal with any technical and/or maintenance problems.

4. END OF THE FRAMEWORK CONTRACT

Three months before the end of the contract, the service provider must submit, in conjunction with the European Parliament, a report containing the following:

– an analysis of the performance of the framework contract

– suggested improvements

– an exchange of experience

– comments and advice that could be useful for future contracts

– suggested improvements to the invitation to tender.

5. REPORTS AND FOLLOW-UP

The following meetings will form an integral part of the services with a view to guaranteeing regular quality assurance:

5.1. Contract meetings

These meetings will take place every six months. They will focus on developments in the situation, monitor the quality of the services provided under the contract and analyse the statistics produced by the service provider. The date and time of the following meeting will be agreed at the end of each meeting.

5.2. Ad hoc meetings

With a view to solving specific problems, the European Parliament may request meetings in addition to those held every six months.

Annex II.1: SLA - Helpdesk

Requirements relating to service levels (SLA)

HELPDESK

This document outlines the conditions under which the service provider will provide a telephone helpline service *(Helpdesk)* for the duration of the contract. This helpline will include a set of obligations described below.

1. Services

1.1. Diagnostic service

The first service is diagnostics. Diagnostics is taken to mean identifying, on the basis of symptoms described by the European Parliament, the source of a malfunction in the software (incorrect parameters, problem integrating with different software, bugs, etc.), including malfunctions caused by incorrect handling by the user or those associated with integrating the software into the European Parliament's hardware AND software configuration; abnormal performances are also considered malfunctions.

The European Parliament makes use of the service provider's service. It will provide the European Parliament with a diagnosis detailing the possible cause of the problem, as well as a solution if one is known in advance.

	European Parliament	Service Provider
Contact persons		To be determined
Method of communication	● Tel.: ● E-mail:	● Tel.: ● E-mail:
Deadline for reply		4 working hours
'Real Time' telephone helpline option		☐ Yes ☐ No
Languages	EN, FR	EN, FR
Penalties		As described in point 2.2.2 of the Requirements relating to service levels (SLA) In the first three months following the implementation of the service no penalties shall be applied
Hours		Working days from 08.30 to 17.45 (GMT+1)

1.2. Software support

This service aims to put in place assistance to resolve problems relating to the use of the

software, its functioning and its integration into the European Parliament's hardware and software configuration. These solutions will be presented on the basis of a diagnosis provided by the European Parliament or by the service provider.
A single telephone number and a preferred e-mail address will be set up by the service provider in order to ensure this support.
The staff ensuring this support will be experts in using the software and will be best able to ensure real time support by telephone.
The European Parliament makes use of the service provider's service. It will provide the European Parliament with a detailed solution enabling it to resolve the problem as diagnosed by the European Parliament or by the service provider itself. If there is no solution to the problem, the service provider undertakes to contact the software publisher with a view to finding a solution.

	European Parliament ⇒ Service provider	Service provider ⇒ European Parliament
Contact persons		
Method of communication	● Tel.: ● E-mail:	● Tel.: ● E-mail:
Deadline for reply		4 working hours
'Real Time' telephone helpline option		☐ Yes ☐ No
Languages	EN, FR	EN, FR
Penalties		As described in point 2.2.2 of the Requirements relating to service levels (SLA) In the first three months following the implementation of the service no penalties shall be applied
Hours		Working days from 08.30 to 17.45 (GMT+1)

2. Obligations of the service provider

- The service provider undertakes to perform the contract services. The following arrangements apply to all contract services.
- The service provider must have technical skills and knowledge with regard to the software. The software publisher concerned (if it is not the service provider himself) will have to keep the service provider up-to-date.

- The service provider has an obligation of means, result, guarantee and advice for all contract services.

- The service provider shall provide measures which are specific to the products and which are necessary in order to ensure that data and support services are retained.

- The service provider undertakes to inform the European Parliament immediately in writing when he is made aware of any products provided which are defective and which compromise the security of the configurations concerned. The service provider also undertakes to take the measures required to correct the defects and restore security immediately.

- A formal quarterly meeting between the service provider and a representative from the European Parliament will be arranged at the European Parliament's place of work in Luxembourg in order to address the use of the product. The service provider will have to undertake the corrective action mentioned during this meeting. The minutes of the meeting shall be taken by the service provider and approved by the European Parliament.

- The service provider undertakes, as does the European Parliament, to appoint a mandated responsible officer to negotiate the practical performance of the contract. These officers will have to participate in the quarterly meetings described above. They will be able to appoint a replacement where necessary.

- At the request of the European Parliament, these meetings may be replaced, until further notice, by telephone contact or by an exchange of e-mails.

Annex III.1: Model of Specific Contract

SPECIFIC CONTRACT: *(indicate specific contract reference)* implementing Framework Contract: **CLAVIS14**

[For supplies and/or associated services]

The European Union, represented by the European Parliament,
located at *(indicate address of the authorising officer responsible)*
represented, as regards the signing of this Specific Contract,
by *(name in full)*
hereinafter referred to as 'the European Parliament',

of the one part,

AND

..... domiciled at / the registered office of which is located at
.....
represented by ……..
acting in his/her capacity as …….…….,
hereinafter referred to as 'the Contractor',

of the other part,

hereinafter referred to jointly as 'the parties',

HAVE AGREED THE FOLLOWING:

Article 1 - Subject Matter of the Specific Contract

1. This Specific Contract implements Framework Contract *(indicate reference*) ***signed*** by the European Parliament and the Contractor on *(insert date)*, [and last amended by amendment no *(indicate amendment number*), signed on *(insert date)*] hereinafter referred to as the "Framework Contract". Once signed by the parties, the Specific Contract shall be governed by the terms and conditions of the Framework Contract.

2. This Specific Contract has been awarded to the Contractor further to its specific offer attached hereto as Annex *(III)* and dated *(insert date)*.

3. The subject matter of this Specific Contract is the [Delivery of the supplies / performance of the services] detailed in Annex *(I)*.

4. The Contractor undertakes, on all the terms set out in the Framework Contract and in this Specific Contract and the annexes hereto, [to deliver the supplies / to perform the services] specified in Annex *(I)*.

5. [The services shall be performed/ the supplies shall be delivered] on the premises of the European Parliament in Luxembourg.

Article 2 - Duration

1. This Specific Contract shall enter into force on [*(insert date)* / the date on which it is signed] for a duration of (*insert duration)*. [It shall end at the latest on *(insert date)*].

2. [In any event, this Specific Contract shall not enter into force unless the Contractor has fulfilled all its contractual obligations under Specific Contract *(indicate reference)*, or the latter is otherwise terminated.].

3. [Delivery of the supplies / performance of the services] may under no circumstances begin before the date on which this Specific Contract enters into force.

4. This Specific Contract may not be renewed. However, the duration of this Specific Contract may exceptionally be extended by express written agreement between both parties in accordance with Article 7, before it expires.

5. The Contractor hereby acknowledges that the European Parliament has no interest in receiving [the supplies / the services] defined in Annex *(I)* unless they are fully [delivered /performed] before the end of the duration of this Specific Contract. Therefore, in the event [of late or non-delivery of any part of the supplies / of late performance or non-performance by the Contractor of any part of the services], the European Parliament may without prejudice to any of its rights under this Specific Contract refuse acceptance and payment of any partially [delivered supplies / performed services], even if such partially [delivered supplies / performed services] are self-contained, and may terminate this Specific Contract without recourse to legal proceedings and without compensation, by registered letter with acknowledgment of receipt.

Article 3 - Price

(Fixed price option for supplies and/or services)

1. A fixed price of EUR *(indicate amount in figures)* covering all [supplies delivered / services performed] under this Specific Contract shall be paid by the European Parliament. It is understood that this amount shall cover all expenditure incurred by the Contractor in carrying out the Specific Contract without prejudice to Article I.4.3. of the Framework Contract.

("Quoted time and means" option and "Time and means" option for services)

1. The European Parliament shall pay the Contractor for the services performed under this Specific Contract an amount of EUR *(indicate amount in figures* in the specific offer included in Annex *(III)*.

The maximum total amount to be paid by the European Parliament shall be EUR *(indicate amount in figures)* covering all services to be performed under this Specific Contract. It shall cover all expenditure incurred by the Contractor in performing this Specific Contract without prejudice to Article I.4.3 of the Framework Contract.

2. No other costs shall be reimbursable under this Specific Contract.

Article 4 - [Delivery of supplies/ Performance of services]

(Fixed price option for supplies and/or services)

1. The [supplies delivered / services performed] by the Contractor under this Specific Contract shall result in *(insert appropriated text)*, defined according to the provisions of Annex *(I)*.

(Quoted time and means option for services)

1. The services performed by the Contractor under this Specific Contract shall be executed on the basis of a specific offer for 'sub-tasks' drawn up after the request of the European Parliament by means of the form attached in Annex *(V)*.

   Within *(insert an amount in figures)* working days from the date on which the European Parliament sends to the Contractor a request for a specific offer for 'sub-tasks', the Contractor shall return it to the European Parliament duly completed and signed. If the Contractor fails to meet the above-mentioned deadline, penalties may be applied according to relevant articles of the Framework Contract and to the Service Level Agreement.

   The time estimated for the performance of the relevant 'sub-tasks'included in the above-mentioned form shall be approved, in writing, by the European Parliament within a maximum of *(insert an amount in figures)* working days from the date on which the European Parliament receives the estimate. If the European Parliament does not send a written approval by the end of the above-mentioned period, the estimate shall be deemed not to have been approved.

   The Contractor shall perform the services approved by the European Parliament. In the event the estimated time initially agreed for the performance of this Specific Contract has not been fully taken up, the European Parliament shall not be obliged either to use or to pay for the hours not worked and the Contractor shall not be entitled to claim damages for them.

   Signature by the European Parliament of the acceptance form attached in Annex *(V)* provides evidence of acceptance of the services performed by the Contractor.

(Time and means option for services)

1. The contractor shall, according to procedures laid down by the European Parliament, notify, by the means of the time sheet model contained in Annex *(VI)*, the actual number of hours worked every day under this Specific Contract. At the end of every month, the Contractor shall complete, sign and send the above-

mentioned time sheet to the European Parliament relevant technical responsible person referred to in Article 8 who will verify and approve it.

Article 5 - Subcontracting

In accordance with Article II.6 of the General Terms and Conditions of the Framework Contract, the Contractor subcontracts the performance of services listed in Annex *(II)* to *(indicate name and address of the subcontractor/s)* under the full responsibility of the Contractor.

Article 6 - Performance Bond

1. The European Parliament reserves the right to ask for performance bond to cover performance of orders with a value exceeding EUR 150 000. An irrevocable, unconditional guarantee, payable at first call, shall be established as and when order forms or specific contracts are issued and for an amount not exceeding 10% of their total value. It shall be confirmed by means of a letter of guarantee furnished by a bank, a financial establishment or a third party approved by the European Parliament's Accounting Officer. Payment requests issued by the Contractor shall be admissible only if proof of the establishment of the bank guarantees covering the required percentage of the total value of the order forms or specific contracts to which the guarantee relates has been forwarded to the European Parliament. The guarantee shall be released at the Contractor's request 30 calendar days after final acceptance of the supplies by the European Parliament in accordance with the specifications. Any charges relating to the guarantee shall be payable by the Contractor.

2. The period for release of the performance bond may be extended if the European Parliament deems it necessary to carry out additional checks.

3. Any extension, by means of a supplementary agreement in accordance with Article 7, of this Specific Contract, shall require the renewal of the performance bond by the Contractor.

Article 7 - Amendment of the Specific Contract

Any amendment to this Specific Contract and its annexes, including any additions or deletions, shall require a supplementary agreement in writing, concluded on the same terms as this Specific Contract. No oral agreement may bind the contracting parties to that effect.

Article 8 - Administrative Provisions

1. The persons responsible for implementing this Specific Contract are:

For the European Parliament:

Administrative matters:

Surname/First name:
Office:
Phone:
E-mail:

Service Management:

Surname/First name:
Office:
Phone:
E-mail:

Technical matters:

Surname/First name:
Office:
Phone:
E-mail:

For the Contractor:

Administrative matters:
Surname/First name:
Phone:
E-mail:

Technical matters:
Surname/First name:
Phone:
E-mail:

2. All communications relating to the implementation of this Specific Contract must be in writing and sent to the relevant responsible persons.

Article 9 - Final Provisions

1. The provisions of the Framework Contract shall apply to this Specific Contract. However, the final provisions of the Framework Contract shall be interpreted as follows: the provisions of the Specific and General Terms and Conditions of the Framework Contract shall prevail over the provisions of this Specific Contract; this Specific Contract shall prevail over the Annexes to the Framework Contract; the provisions of this Specific Contract shall prevail over its annexes.

2. Subject to the above, the various documents making up this Specific Contract are to be taken as mutually explanatory. Any ambiguity or divergence within the same part

or between different parts shall be explained and corrected by written instructions from the European Parliament.

Article 10 - Annexes

The following documents are annexed to this Specific Contract and form an integral part thereof:

Annex I - Detailed [Statement of work for services / technical annex for supplies]
Annex II - Services to be performed by the subcontractor/s
Annex III - Specific offer of the Contractor dated *(insert date)* and with reference number *(insert reference)*
Annex IV - Not Applicable
Annex V - Sub-task form
Annex VI - [Acceptance form template / Time sheet template]

Done at …… on …… in two originals

For the Contractor

For the European Parliament

Annex III. 2. Model of Order Form

EUROPEAN PARLIAMENT (Indicate official address in Luxembourg, Brussels or Strasbourg)		(Department) Tel: Fax:

ORDER FORM No <year / serial number>

Contractor: (name)
(address)

Framework contract reference:
Tender procedure reference:
ED number:
Other references:

Ref.	Description	Quantity	Unit price	Discount	Total	VAT
				Total excluding tax		EUR
				VAT		EUR
				Other tax		EUR
				Total including all tax		EUR

Stamp

Authorising officer responsible

Date of signature:

(signature)
(surname and first name of authorising officer responsible)

The law applicable to this order form shall be that indicated in the framework contract.
(Where applicable, include text concerning VAT here)

Place of delivery/performance: *(mandatory)* Time-limit for delivery/performance: *(mandatory)* Special conditions of delivery/performance:	Warranty period: with effect from: Special conditions (invoicing, penalties applicable and other): Contact person:

The documents specified below form an integral part of the order form and take precedence over each other in the following order:
I. Framework contract applicable to the procurement operation
II. Invitation to submit a tender and/or contract specifications and the annexes thereto
III. Contractor's tender

Annex I of the Model of Specific contract: Detailed [Statement of work for services / technical annex for supplies]

TECHNICAL ANNEX / STATEMENT OF WORK

1. CONTEXT / INTRODUCTION

2. DESCRIPTION OF TASKS / SUPPLY

3. DETAILS ABOUT "DELIVERABLES" (different phases, tests, …)

4. OTHER PRECISIONS FOR SUPPLY

- Date of delivery/Time limit for delivery: (mandatory)
- Special conditions of delivery:

Annex V of the Model of Specific contract: Sub-task form

SUB-TASK FORM

To be used for Quoted Time and Means Orders during contract execution

SUB-TASK FORM	**Request Date:**	
	SUB-TASK no:	
	Specific Contract reference:	
Short Description:		
Institution:		
Responsible for the realisation of the SUB-TASK:		
Description of work:		
Expected deliverables and dates of delivery:		

SUB-TASK FORM	**Request Date:**	
	SUB-TASK Number:	
	Specific Contract reference:	

WORKLOAD ESTIMATES					
PROFILE	**PRICE/HOUR**	**ON SITE/ OFFSITE/ NEAR SITE**	**PLACE OF WORK**	**NUMBER OF HOURS**	**TOTAL PRICE**
				Total	

Planned starting date of work:	
Planned delivery date of work:	

DEFINITION OF WORK PACKAGE AND WORKLOAD ESTIMATES		
	CONTRACTOR	PARLIAMENT
RESPONSIBLE PERSON:		
Starting date of work:		
DATE AND SIGNATURE FOR AGREEMENT OF WORKLOAD DEFINITION AND ESTIMATES, ALLOWING WORK TO START:		

SUB-TASK FORM	**Request Date:**	
	SUB-TASK Number:	
	Specific Contract reference:	

PROVISIONAL ACCEPTANCE OF WORK		
	CONTRACTOR	PARLIAMENT
PERSON RESPONSIBLE:		
DATE OF DELIVERY:		
DATE AND SIGNATURE DENOTING DELIVERY AND RECEPTION OF FORESEEN DELIVERABLES (PROVISIONAL ACCEPTANCE):		

FINAL ACCEPTANCE OF WORK	
	EUROPEAN PARLIAMENT
PERSON RESPONSIBLE:	
DATE OF ACCEPTANCE:	
DATE AND SIGNATURE DENOTING FINAL ACCEPTANCE OF THE DELIVERIES:	

Annex VI of the Model of specific contract: Acceptance sheet form

ACCEPTANCE SHEET FORM

To be used for Fixed Price Orders during contract execution

Duly signed acceptance sheet form to be attached to the invoice

SPECIFIC CONTRACT REFERENCE: .....

DELIVERABLE REFERENCE: .....

PLANNED DELIVERY DATE: .....

DELIVERY OF SUPPLY/SERVICE

To be filled in by the Contractor and the participating institution:

	Contractor	**Participating Institution**
Actual delivery date:		
Person responsible for checking:		
Comments:		
Date and signature:		

ACCEPTANCE OF SUPPLY/SERVICE

To be filled in by the participating institution:

Official responsible for acceptance (certified correct):	
Date and signature:	

Annex VI of the Model of the specific contract: Time sheet template

TIME SHEET TEMPLATE

To be used for Time and Means orders during contract execution

Duly signed time sheet form to be attached to the invoice

Specific Contract Reference: ……

Period (month/year): ……

Name of person: ……

Profile: ……

……

Day	Tasks	Number of days
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		
26		
27		
28		
29		
30		
31		
	TOTAL :	**0,0**

(*) Please attach justification

Comments and signature ***(to be filled in by the contractor):***

Additional comments:	
Date and signature:	

Certified correct ***(to be filled in by the Participating Institution):***

Official responsible for acceptance:	
Date and signature:	

Annex III.3: Request for Offer Form

REQUEST FOR OFFER FORM

Dear Contractor,

I hereby invite you to make an offer for the attached Contract Statement of Work which is summarized below:

Request for offer unique identifier: .....

Specific Contract identifier: .....

Estimated starting date: .....

Estimated end date / Duration: .....

Estimated budget (if known): .....

Type of specific contract: Fixed Price / Quoted Time and Means / Time and Means

Planned work outside normal working hours: Yes / No

Planned missions to other places of work: Yes / No

Subcontracting allowed: Yes / No

(if yes and subcontractor not declared in framework contract offer, please fill in subcontracting request form)

Administrative contact point: .....@[y].europa.eu

Technical contact point: ..... @[y].europa.eu

The offer must be submitted to the participating institution within 10 working days from receipt of this request. The participating institution will then have 10 days in which to provisionally confirm acceptance.

Your signed and dated offer shall be sent by E-Mail to xxx@[y].europa.eu.

Annex IV: Forms

(TO BE FILLED BY THE TENDERER)

Annex IV-Form0: Declaration on the tenderer's honour concerning the exclusion criteria and absence of conflicts of interest

Declaration on the tenderer's honour concerning the exclusion criteria and absence of conflicts of interest

To be completed by the tenderer or by each company in the case of a consortium with a joint representative or by subcontractors in the case of subcontracting.

Official name of the candidate/tenderer:

.....
.....

Official address:

.....
.....

Official legal form (only for legal person):

.....
.....

I, the undersigned, Mr/Ms ....., being the representative authorised to sign on behalf of the tenderer, hereby declare on my honour that:

(a) the candidate/tenderer is not bankrupt or being wound up, is not having his/her affairs administered by the courts, has not entered into an arrangement with creditors, has not suspended business activities, is not the subject of proceedings concerning those matters, or is not in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

(b) the candidate/tenderer or persons having powers of representation, decision making or control over the candidate/tenderer have not been convicted of an offence concerning their professional conduct by a judgment of a competent authority of a Member State which has the force of res judicata;

(c) the candidate/tenderer has not been guilty of grave professional misconduct proven by any means which the contracting authority can justify including by decisions of the EIB and international organisations;

(d) the candidate/tenderer is in compliance with his/her obligations relating to the payment of social security contributions and the payment of taxes in accordance with the legal provisions of the country in which he/she is established or with those of the country of the contracting authority or those of the country where the contract is to be performed;

(e) the candidate/tenderer or persons having powers of representation, decision making or control over the candidate/tenderer have not been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such illegal activity is detrimental to the Union's financial interests;

(f) the candidate/tenderer is not subject to an administrative penalty imposed by the contracting authority under Article 109(1) of the Financial Regulation;

Comments:

.....
.....
.....
.....

I hereby undertake to supply any documents specifically requested from me.

The undersigned is aware of the fact that contracts may not be awarded to candidates or tenderers who, during the procurement procedure:

(1) are subject to a conflict of interest in connection with the contract; a conflict of interest could arise in particular as a result of economic interests, political or national affinities, family or emotional ties or any other relevant connection or shared interest;

(2) are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the procurement procedure or fail to supply this information;

(3) find themselves in one of the situations of exclusion ((a) to (f) above), referred to in Article 106(1) of the Financial Regulation, for the procurement procedure.

In addition, I, the undersigned, declare on my honour that:

- the candidate/tenderer will inform the contracting authority, without delay, of any situation considered a conflict of interest or which could give rise to a conflict of interest;

- the candidate/tenderer has not granted and will not grant, has not sought and will not seek, has not attempted and will not attempt to obtain, and has not accepted and will not accept any advantage, financial or in kind, to or from any party whatsoever, constituting an illegal practice or involving corruption, either directly or indirectly, as an incentive or reward relating to the award or the execution of the contract;

- the information provided to the European Parliament within the context of this invitation to tender is accurate, sincere and complete.

Date: ..... **Signature:** .....

Annex IV-Form1: Financial identification form - Supplier

LEGAL ENTITY
PRIVATE COMPANY

Title / LEGAL FORM

NAME (S)

ABBREVIATION

ADDRESS Street

Number Postcode

Town / City Country

VAT-Number

PLACE OF REGISTRATION

DATE OF REGISTRATION / /

REGISTRATION N°

PHONE FAX

E-MAIL

A copy of some official document showing the name of the legal entity, the registration address, the VAT number and the registration number given by the national authorities must be attached.

ACCOUNT NAME

ACCOUNT NAME
(The name under which the account has been opened)

ADDRESS Street

Number Postcode

Town / City Country

BANK

IBAN
(Obligatory, *if the IBAN Code exists in the country where your bank is established)*

SWIFT CODE (BIC) CURRENCY

ACCOUNT NUMBER
(National Format)

BANK NAME

ADDRESS Street

Number Postcode

Town / City Country

BANK STAMP + SIGNATURE OF BANK REPRESENTATIVE * :

DATE + SIGNATURE OF ACCOUNT HOLDER

(Obligatory)

*** It is preferable to attach a copy of recent bank statement. Please note that the bank statement has to provide all the information listed above under 'ACCOUNT NAME' and 'BANK'. In this case, the stamp of the bank and the signature of the bank's representative are not required. The signature of the account-holder is obligatory in all cases.**

Annex IV-Form2: Information sheet concerning consortiums of economic operators

Annex IV-Form2: Information sheet concerning consortiums of economic operators

Official name of the member authorised by the consortium[1]:

.....

Official address:

.....

.....

Legal form of the consortium[2]:

.....

.....

I, the undersigned, Mr/Ms ....., representing the authorised representative of the consortium of operators submitting this tender, hereby declare that I have noted the conditions laid down by the European Parliament for submission of a tender by a consortium and that the submission of a tender and the signing of this declaration imply acceptance of those conditions:

'The consortium of economic operators shall furnish proof of its legal form in the tender. This may take one of the following forms:

- an entity with legal personality recognised by a Member State;
- an entity without legal personality but offering sufficient protection of the European Parliament's contractual interests (depending on the Member State concerned, this may be, for example, a consortium or a temporary association);
- the signature by all the partners of a type of 'power of attorney' or equivalent document confirming a form of cooperation.

The document supplied must prove the consortium's actual status. In that document or in an annex thereto, the economic operators making up the consortium shall undertake, as tenderers, to bear joint and several liability during performance of the contract, should it be awarded to them.

The European Parliament may accept other legal forms not referred to above, provided that they ensure the parties' joint and several liability and are compatible with performance of the contract. However, in the contract to be signed with the consortium the European Parliament will refer expressly to the existence of such joint and several liability. In addition, it reserves the right to require, contractually, the appointment of an authorised representative who may

[1] State the name and address of the member authorised by the other members of the consortium to represent it. If no authorisation has been given, all consortium members must sign this declaration.

[2] To be indicated if a precise form has been chosen by the consortium members. If that is not the case, leave blank.

represent the members and who is empowered, inter alia, to issue invoices on behalf of the other members.'

Information on members of consortium			
Name of member of consortium	Address of member of consortium	Name of member's representative	Description of technical, professional and economic capacities

Date: ..... **Signature:** .....

Annex IV-Form3: Declaration concerning subcontractors

Annex IV-Form3: Declaration concerning subcontractors

Name of the tenderer:

I, the undersigned, Mr/Ms ....., in my capacity as representative of the above-mentioned tenderer, hereby **declare** that, in the event that the contract, or one or more lots thereof, is awarded to the tenderer, the following economic operators will act as subcontractors:

Details of subcontracting			
Name & address of subcontractor	Description of the subcontracted part of the contract	Value of subcontracted part of contract (in EUR and as a percentage of estimated total amount of contract)	Description of technical, professional and economic capacities

I acknowledge that the European Parliament will request information on the financial, economic, technical and professional resources of the proposed subcontractor(s) and that the European Parliament will demand the requisite proof to establish whether the subcontractors comply with the exclusion criteria applying to tenderers.

In this context, the European Parliament reserves the right to reject any proposed subcontractor not complying with the exclusion and/or selection criteria.

Furthermore, the European Parliament must be informed by the Contractor of any subsequent use of subcontracting not provided for in the tender. The European Parliament therefore reserves the right to accept or reject any subcontractor proposed during the performance of the contract. Accordingly, it may demand the requisite proof to establish whether a subcontractor complies with the requisite criteria. The European Parliament's authorisation will always be granted in writing.

If the contract is awarded to a tenderer who proposes a subcontractor in his tender, this equates to giving consent for the subcontracting.

Date: ..... **Signature:** .....

Annex IV-Form4: Financial data sheet

Annex IV-Form4: Financial data sheet

To be completed by the tenderer or by each company in the case of a consortium with a joint representative and the declared subcontractors, on the basis of the financial statements for the last three financial years, which must be attached.

Turnover

Company name:		
Total turnover for the last three financial years		
Year n-1	.....	EUR
Year n-2	.....	EUR
Year n-3	.....	EUR

Turnover

Company name:		
Total turnover for the last three financial years		
Year n-1	.....	EUR
Year n-2	.....	EUR
Year n-3	.....	EUR

Turnover

Company name:		
Total turnover for the last three financial years		
Year n-1	.....	EUR
Year n-2	.....	EUR
Year n-3	.....	EUR

Certified true and accurate.

Done at ..... on .....

Signature(s):

Annex IV-Form5: Declaration concerning the conformity to the European Parliament's IT environments

Declaration concerning the conformity to the European Parliament's IT environments

Name of the tenderer:

I, the undersigned, Mr/Ms ....., in my capacity as representative of the above-mentioned tenderer, hereby **declare** that, I have read the European Parliament's IT environment requirements (cfr. Annex I.2: A description of the European Parliament's IT environment) and **declare** that the proposed solution will be fully compatible with the European Parliament's IT environment requirements.

Date and place:

[signature]

NAME

Annex IV-Form6: Selection criteria questionnaire

Name of Tenderer	

The information provided below can in no way replace the documents requested. Answers will be checked against the documents submitted. (See tender documents section 14.1. "Financial and economic capacity" and section 14.2. "Technical and professional capacity")

LEGAL CAPACITY		
	Capacity	
Proof of authorisation to perform the contract under his national law	☐ Yes*or ☐ No	See tender documents section 14.
Proof of status and legal capacity	☐ Yes*or ☐ No	

* Answers must be substantiated with the supporting documents requested.

ECONOMIC AND FINANCIAL CAPACITY				
	year -3	year -2	year -1	Minimum capacity
Turnover	☐ Yes*or ☐ No	☐ Yes*or ☐ No	☐ Yes*or ☐ No	**> € 1 800 000 / year** See tender documents section 14.1. "Financial and economic capacity"

* The tenderer or candidate may also rely on the capacity of members of the consortium, the capacity of the subcontractors or of other entities to fulfil the minimum capacity requested. Answers must be substantiated with the supporting documents requested.

TECHNICAL AND PROFESSIONAL CAPACITY		
	Capacity	Minimum capacity
Experience	☐ Yes*or ☐ No	See tender documents section 14.2. "Technical and professional capacity"
A team of experts	☐ Yes*or ☐ No	
Conformity to the European Parliament's IT environments	☐ Yes*or ☐ No	

* The tenderer or candidate may also rely on the capacity of members of the consortium, the capacity of the subcontractors or of other entities to fulfil the minimum capacity requested. Answers must be substantiated with the supporting documents requested.

ECONOMIC AND FINANCIAL CAPACITY	
* if the tenderer rely on the capacity of members of the consortium, the capacity of the subcontractors or of other entities explain how the minimum capacities requested is fulfilled with reference to Annex IV –- Form4: Financial data sheet.	Explanation (maximum 1 page):
TECHNICAL AND PROFESSIONAL CAPACITY	
* if the tenderer rely on the capacity of members of the consortium, the capacity of the subcontractors or of other entities explain how the minimum capacities requested is fulfilled.	Explanation (maximum 1 page):

Name and signature: Tenderer stamp

Annex IV-Form7: Questionnaire about the provision of services and performance

Questionnaire about the provision of services and performance

Name of company	
VAT registration number	
Correspondence address	
Address of European headquarters if different from above	
Contact name for contract	
Telephone number	
Fax number	
E-mail	

Name of software publisher	
Name of software	
Version of software	

QUALITY OF THE PROPOSED PROJECT APPROACH	
Please provide a strategy paper covering all items listed under Qualitative criterion 2 in the tender documents.	Description (maximum 3 pages):
QUALITY OF ALLIED SERVICES	
Please provide a strategy paper covering all items listed under Qualitative criterion 3 in the tender documents	Description (maximum 3 pages):

TRAINING (see detailed description in point 2.3.1 of the SLA)		
Type of service		
Type of course	Length of course (in days)	Description
User		
User support		
Technical maintenance		

PERFORMANCE The expected performance levels for the product concerned are indicated in the following table. The number of users recorded is approximately 200, with an annual increase of +/- 5 %. (See detailed description of use cases in Annex-IV-Form7-appendix)		
	Minimum Performance	Performance
Authentication (UC-01 – Authentication)	4 seconds	☐ Yes*or ☐ No
Confidentiality management (UC-02 – Confidentiality management)	2 seconds	☐ Yes*or ☐ No
User management (UC-03 – User management)	70 seconds	☐ Yes*or ☐ No
Exiting the application (UC-04 – Exiting the application)	3 seconds	☐ Yes*or ☐ No
Importing (UC-05 – Importing)	2 hours 40 minutes for approx. 20 000 records	☐ Yes*or ☐ No

* Answers must be substantiated with appropriate technical documents

OTHER DETAILS	
Date of publication of first version of software	
Date of publication of last major version of software	
Number of clients who have acquired the software	
DELIVERY OF THE BASIC SUPPLY TO THE LUXEMBOURG SITE AND THE RECOVERY OF THE DATA (Basic supply as described in the Annex I.1: Technical specifications, Chapter 5.1.)	
Please indicate the time limit for delivery (Basic supply):	
Please indicate the time limit for the recovery of the data:	

Name and signature: Company stamp:

Annex IV-Form7-appendix: Description of use cases

TABLE OF CONTENTS

Description of use cases

In the use cases set out below, the values in the 'Priority', 'Complexity' and 'Frequency of use' fields are figures. These figures indicate the following:

- 1: High
- 2: Average
- 3: Low

System administration and navigation

UC-01 – Authentication

ID	UC-01
Name	Authentication

Profile	All
Description	The user authenticates his identity in order to access the application in accordance with the rights and roles attributed to him.
Trigger event	Point of entry to the application
Pre-conditions	1) The user's connection data and profile must first have been entered in the system. 2) The login name and password are compulsory for authentication. 3) The login name and password must be correct in order for the system to accept the authentication.
Post-conditions	
Normal flow	1. A window opens in which the user can enter his login name and password. 2. The system validates the data entered. 3. The system manages the access right. 4. The application opens, offering the user the range of possibilities that match his profile.
Alternative flow	Access and dissemination of information for persons without an intranet login name is via an external (internet) portal.
Exceptional circumstances	1. There is an error in the connection data (login name or password) entered, the system does not recognise the user, or the user's account is not active. • The system displays the error message 'User unknown'. • The application does not open. 2. The connection data (login name and password) are not entered in full. • The system places the cursor in the field for the missing

	data, prioritising the login name.
Priority:	1
Complexity:	2
Frequency of use:	1
Management rules	1. The user's connection data and profile must first have been entered in the system. 2. The login name and password are compulsory for authentication. 3. The login name and password must be correct in order for the system to accept the authentication. 4. The range of possibilities offered by the system depends on the user's profile.
Special conditions	Management is covered by the 'Confidentiality management' user case.
Assumptions	
Notes and problems	

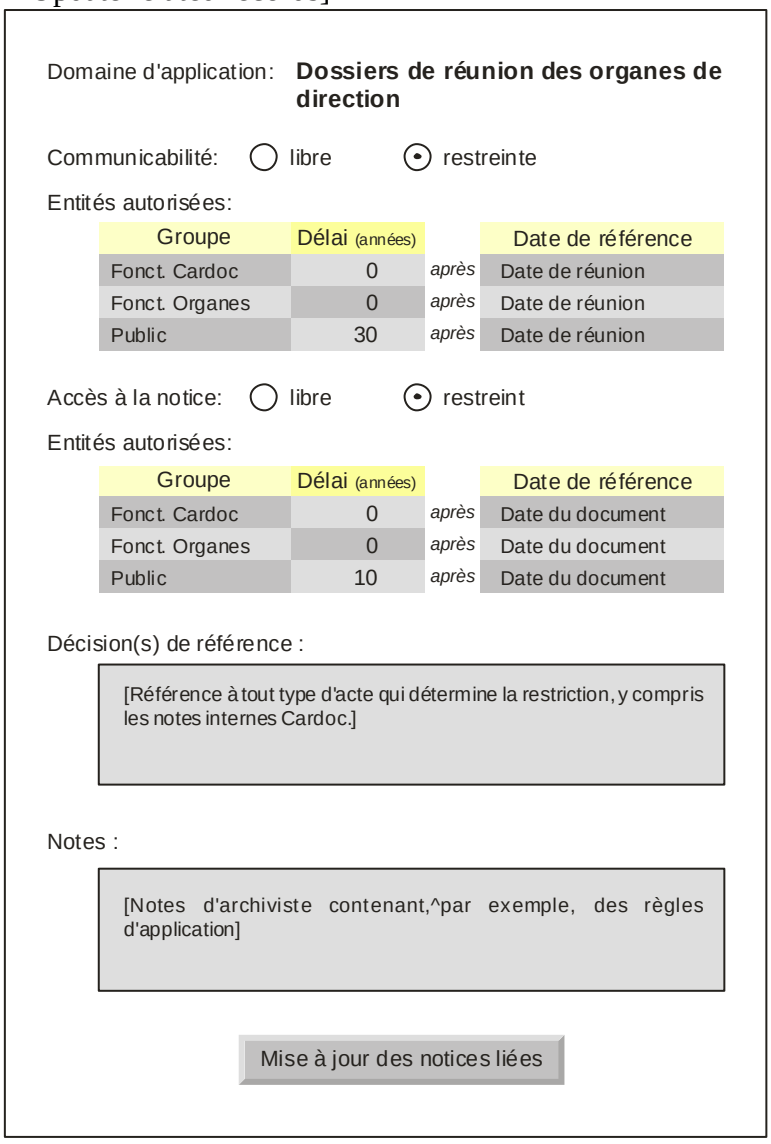
UC-02 – Confidentiality management

ID	UC-02
Name	Confidentiality management

Profile	All
Description	The system manages the application's level of confidentiality in accordance with the user's rights.
Trigger event	Request for a database operation (e.g. authentication, entry change, consultation)
Pre-conditions	The login name and password are correct.
Post-conditions	
Normal flow	The application gives access to the operation requested and the corresponding data.
Alternative flow	The application gives minimum access.
Exceptional circumstances	1. The operation is not authorised. • The system notifies the user. • The operation is not carried out.
Priority:	2
Complexity:	2
Frequency of use:	2
Management	1. An identified user belongs to a particular group and can use

rules	the access permissions granted to that group; 2. A non-identified user belongs to a group that has minimum access rights; 3. The access rights concern: 4. places of access (meeting rooms, via intranet); 5. the period of validity of the access (see below); 6. the accessibility of documents (access to some of which is denied for 5, 10 or 30 years); 7. the scope of access to objects (records, images, fields, linked documents); denial of access is cascading (e.g. if access to a record is denied, access to the documents linked to it will likewise be denied). 8. operations on objects (consulting, changing, deleting or moving them); 9. the definition of groups for confidentiality management purposes. This is independent of the definition of occupational profiles or roles, which are relevant for controlling access to the system's various functions. 10. The access rights will enable the filtering of results, i.e. the sorting of records and documents displayed during a search. 11. Confidentiality enables the management of documentary records. This is essential in the case of a confidentiality rule change (e.g. granting access to a new group or changing a time period following a rule change). 12. Each authorised group will have a date from which it is granted access. The date will be calculated, when a documentary record is created, by adding a period of time to a reference date in the record to which an access restriction applies.
Special conditions	
Assumptions	
Notes and problems	**Model record for confidentiality management table** [KEY: Domaine d'application = Field of application; Dossiers de réunion des organes de direction = Management bodies' meeting files; Communicabilité = Communicability; libre = unrestricted; restreint(e) = restricted; Entités autorisées = Authorised entities; Groupe = Group; Délai (années) = Period of restriction (years); Date de référence = Reference date; Fonct. Cardoc = Officials, Cardoc; Fonct. Organes = Officials, EP bodies; Public = Public; après = after; Date de réunion = Meeting date; Accès à la notice = Access to record; Date de document = Document date; Décision(s) de référence = Reference decision(s); Référence à tout type d'acte qui détermine la restriction, y compris les notes internes Cardoc = Reference to an official decision of any type, including an internal Cardoc note,

establishing the restriction; Notes = Notes; Notes d'archiviste contenant, par exemple, des règles d'application = Archivist's notes containing, for example, application rules; Mise à jour des notices liées = Update related records]



Notes:

- The data in the example shown are simply illustrative and do not relate to any actual case.
- The 'reference date' must match a field in the descriptive record, the communicability of which is governed by the record for the confidentiality management table. The descriptive records will have to be adapted as necessary: e.g. if a meeting date were to be the reference date that would have to be reflected in all the relevant items.
- The 'Update related records' button must be visible and active only for the database administrator: the operation that it launches is

	relatively complex and may have to be undertaken at a suitable time. ▪ Cardoc in the Model record for confidentiality management table refers to the former name for the Historical Archives.

UC-03 – User management

ID	UC-03
Name	User management

Profile	Database administrators
Description	Management of users accessing the application and of their respective rights
Trigger event	Addition/deletion of a user or a change in an existing user's rights
Pre-conditions	1. The user must have a profile that permits the action. 2. A user may be deleted only if he has not made entries in the database.
Post-conditions	
Normal flow	1. Users are managed via the administrator interface. 2. The administrator interface is defined by the portal.
Alternative flow	
Exceptional circumstances	
Priority:	1
Complexity:	1
Frequency of use:	1
Management rules	1. The user must have a profile that permits the action. 2. The confidentiality of system objects is managed within the system (see UC-02, above).
Special conditions	
Assumptions	
Notes and problems	

UC-04 – Exiting the application

ID	UC-04
Name	Exiting the application

Profile	All
Description	Exiting the application

Trigger event	Cessation of activity in the application
Pre-conditions	
Post-conditions	
Normal flow	1. The user closes the application. 2. The system asks for confirmation that the user wishes to exit. 3. If an action is in progress, the system notifies the user and prompts accordingly. • The user confirms or cancels the closure of the application. 4. The application then closes.
Alternative flow	1. The user uses the menu or a keyboard shortcut to perform the action.
Exceptional circumstances	
Priority:	1
Complexity:	2
Frequency of use:	1
Management rules	
Special conditions	
Assumptions	
Notes and problems	

UC-05 – Importing

ID	UC-05
Name	Importing

Profile	Database administrators
Description	Importation of data into the system. This operation takes place outside the user interface.
Trigger event	New data to be input into the system.
Pre-conditions	1. The user must have a profile that permits the action. 2. First, the structure must be prepared as regards both the records via the application (e.g. for creating a new background, new series or new CPF authorities) and the file system (creation of folders to store PDF images).

Post-conditions	1. The imported records and images must be consultable via the application.
Normal flow	1. Images already organised according to the logical structure of the file system are imported into it. 2. On the server, a script list for the import is performed, including the utility which actually imports records into the database. 3. There are various format options for the import including ASN and SGML. 4. Configuration files are loaded by a script to create records in the 'Document' table. This enables records and images to be linked.
Alternative flow	
Exceptional circumstances	
Priority:	1
Complexity:	1
Frequency of use:	1
Management rules	1. First, the structure must be prepared as regards both the records via the application (e.g. for creating a new background, new series or new CPF authorities) and the file system (creation of folders to store PDF images). 2. The imported records and images must be consultable via the application. 3. There are various format options for the import including ASN and SGML.
Special conditions	
Assumptions	
Notes and problems	A distinction has to be made between the import of structured data into the DB tables and the import of images, documents or electronic documents with descriptions into the file system. Documents are imported directly by addition to the file system without any intervention by the programme. The only records imported into the database are the 'Document' table records that link descriptive records and electronic documents in the file system. The description in this UC concerns only this specific case, but imports into any table must be possible.

Annex IV-Form8: Functional requirements questionnaire

QUESTIONNAIRE[3]

INSTRUCTIONS

- **Classification of functionalities: O – Obligatory; I – Important; D – Desirable.**
- **Every feature of the solution should have a specific reference point in the offer where the technical solutions or adaptations are explicitly clarified.**
- **Tenderers' replies should respect the exact order of this questionnaire and all replies should refer to a specific point in the offer.**
- **It is mandatory to answer all questions.**
- **Question no 1: The tenderer is requested to choose a licence type, i.e. either 1a or 1b.**

2	PRECONDITIONS FOR THE SOLUTION					
	Reference	**Question**	**Funct. class**	**Available in basic version Y/N**	**Offered in adapted solution Y/N**	**Reference to a specific point in the offer**
	2.1 Compliance with the European Parliament's IT environment	N/A This is a selection criterion found in point 14.2 in the principal document PE/ITEC-CLAVIS14 'Setting up a historical archives and document management solution'.				
1	**2.2 Licence**	The type of licence under which the solution is being proposed:	O			
1a		a- a global licence for the entire institution in all its places of work?				
1b		b- a licence for 100 professional users in all the European Parliament's places of work?				
2		Does the solution offer unlimited client access via the internet or intranet?	O			

[3] See 'Awarding criteria', 'quality criterion', 1st dash.

3		Is the solution capable of using a file repository provided by the European Parliament?	**O**			
4		*Does the solution provide mechanisms for managing the file repository?*	*D*			
5	**2.4 Interoperability**	Is the solution interoperable with document- and records-management systems, and with any other applications that manage documents within the European Parliament, by providing occasional or continuous import/export, or synchronisation with other data sources through the use of XML formats?	**O**			
6		Is it possible for the Historical Archives data manager to verify, modify (transform) and validate the input data?	**O**			
	2.5 Scalability and performance	N/A This is an evaluation criterion found in Annex-IV Form7 to the main document.				
7	**2.6 Adaptability**	Is it possible to modify the data structure easily at data-manager and/or archivist level?	**O**			
8		Does the solution offer special tools to modify data structure?	**O**			
		Can the following modifications be made at data-manager and/or archivist level:				
9		• customisation of the description model beyond the ISAD(G) core descriptive structure, in particular by adding new elements of descriptive information (template system);	**O**			
10		• definition and modification of pre-set description models and classification schemes;	**O**			
11		• modification of the properties of elements of descriptive information (e.g. field length or labels);	**O**			
12		• modification of authority lists and data;	**O**			
13		• customisation of the interfaces (theme system)?	**I**			
14		Is the solution open for future development?	**O**			
15	**2.7 Multilingualism**	Does the solution fully support Unicode character encoding?	**O**			
16		Is the solution capable of managing multiple language versions of the same document, and does it support the display of their various script systems?	**O**			
17		Is it possible to describe documents fully, at least in French and English?	**O**			
18		Does the solution support bilingualism (French and English) throughout its entire interface?	**O**			

19		Does the solution allow for search functionalities in French and English, as a minimum?	O			
20		*Can the information retrieval system support multilingual resource discovery and delivery through the use of a multilingual controlled vocabulary?*	*D*			
21	**2.8 Compliance with archival standards**	Does the solution comply with the international standard on archival description ISAD(G)?	O			
22		Does the solution support the latest version of the XML-EAD (encoded archival description) format?	O			
23		Does the solution comply with the international standard archival authority record for corporate bodies, persons and families ISAAR(CPF)?	O			
24		Does the solution support the latest version of the XML-EAC (encoded archival context) format?	O			
25		Is the solution updated so that it always complies with the latest version of the relevant standards?	I			
26	**2.9 Transfer of existing data**	Does the tenderer propose a methodology for the complete migration of existing data and related links to the new environment?	O			

3	**FUNCTIONAL REQUIREMENTS**					
	Reference	**Question**	**Funct. class**	**Available in basic version Y/N**	**Offered in adapted solution Y/N**	**Reference to a specific point of the offer**
	3.1 Data requirements					
	3.1.1 Description of data					
27		Does the text data, which can contain forced carriage returns, allow for more than 2 500 characters?	O			
28		Does the solution support numeric data?	O			
29		Does the solution support alphanumeric data?	O			
30		Does the solution support the storage of dates in ISO format (ISO 8601)?	O			
31		For input, display and in particular for searches, does the solution support other formats (e.g. dd/mm/yyyy or mm/dd/yyyy)?	I			
32		Does the solution support authority data which is controlled by lists or controlled vocabulary?	I			

33		Does the solution allow for authority data which is controlled by authority record?	O			
	3.1.2 Data input					
34	3.1.2.1 Input forms	Does the solution propose input forms which are adapted to the specifics of the data of each functional area?	O			
35	3.1.2.2 Form selection	Does the solution propose the selection of an input form from a list, or automatic form selection and dynamic adaptation of the form, as appropriate?	I			
36	3.1.2.3 Duplication and copy/paste	Does the solution allow for the duplication of entries?	I			
37		When duplicating a form, does the solution allow for the selection and deselection of fields to be copied?	I			
38		Is it possible to copy and paste data irrespective of whether they arise from other entries or from third-party applications?	I			
39	3.1.2.4 Help with input	Does the solution provide for the input of authority-controlled data?	I			
40		Does the solution propose input masks for formatted data such as dates?	I			
41		*Does the solution provide a spellchecker in English and French?*	*D*			
42	3.1.2.5 Input checks	Does the solution accept only values which form part of the authority record, list or controlled vocabulary for the element in question?	O			
43		Does the solution ensure on a continuous basis the consistency and integrity of authority-controlled data?	O			
44		Does the solution provide an active link to the authority record from which the displayed value is derived and from which it has been imported?	O			
45		Does the solution prevent the deletion of original values provided that there are records of the same or other tables associated with the values?	O			
46		Does the solution ensure that formatted data comply with this format?	O			
47		Does the solution provide mechanisms for ensuring the validity of data, for example that a valid date is being used?	I			
48		Does the solution prevent the recording of an entry if there is no value attached to a mandatory field?	O			
49		Does the solution allow for the declaration of certain elements as being mandatory or not, depending on the value of another element in the same entry?	I			

50		Is it possible to define in the solution the fact that certain elements are mandatory or not, depending on the status of the entry in question?	I			
	3.1.3 Saving of data					
51		Is data recorded only by means of the save command entered by a user?	O			
52		Does the solution offer temporary recording?	I			
53	3.1.3.1 Status of entry	Is it possible to define different statuses (e.g. in progress, pending validation, validated, etc.) for an entry?	O			
54	3.1.3.2 Validation	Upon validation, does the solution carry out data integrity checks, verifying the unique nature of the entry in question?	O			
55	3.1.3.3 Immediate availability	Do entries become immediately available for searching after being saved?	O			
56	3.1.3.4 Closing of entries	*Does the solution provide a mechanism for closing entries, whether manually or by batch?*	*D*			
	3.1.4 Modification of data					
57		Does the solution provide confirmation messages as part of the processes of modification and deletion?	I			
58	3.1.4.1 Individual modification of an entry	Can the same form that is used for the input of data also be used to modify an entry?	I			
59		Does the solution prevent the modification and deletion of inherited or automatically completed data?	O			
60		During modification, do entries remain inaccessible to other users for modification?	O			
61		During modification, do entries remain accessible for search and display?	O			
62		Can an authorised user easily access the modification process from all displays of an entry?	I			
63		Upon validation, will entries be immediately indexed and made available for all actions for which they may be required?	O			
64	3.1.4.2 Batch modification	Is batch modification possible?	O			
65		Does the form for batch modification offer a list of fields that can be selected for modification?	O			
66		Is it possible to replace one character string by another, with the option of using generic characters (wildcards)?	I			
67		Is it possible to replace any element content by another?	I			
68		Is it possible to completely delete an element?	I			

69		Is it possible to detect a specific value in a multiple-value element?	I			
70		Is it possible to add a value to a multiple-value element?	I			
71		Is it possible to add an occurrence to a repeatable element?	I			
72		Is it possible to add an occurrence to a repeatable block of elements?	I			
73		When making global modifications, are checks used during data input active?	O			
74		Will the solution produce log files to detail the modifications?	I			
75		Upon validation of batch modifications, will the entries in question be immediately indexed and made available for all actions for which they may be required?	O			
76		*Is it possible to undo global changes, provided that the modified entries have not been subject to other modifications?*	*D*			
77	3.1.4.3 Hierarchical reclassification of descriptive entries	Does the solution allow for the hierarchical reclassification of descriptive entries?	O			
78		Following hierarchical reclassification, does the reference code of the moved entry change automatically, along with all those below it?	O			
79		Does the solution update any data inherited by the lower-level units?	O			
80		Does the solution update the indices for all modified fields of all the entries involved?	O			
81		*If the answer to Question 4 is yes, does the solution automatically change the addresses of document files which are attached to the reclassified entries?*	*D*			
82		*If answer to Question 4 is yes, does the solution move electronic files which are located in the file repository to their new address?*	*D*			
83		Will the solution produce log files to detail the modifications?	I			
84	3.1.4.4 Deletion of entries	Does the solution check to ensure that an entry to be deleted is not the target of a link, hierarchical or otherwise, and that it does not have document files attached to it?	O			
85		Does the solution prevent the deletion of such entries?	O			
86		Can an authorised user easily access the deletion process from all displays of an entry?	I			
87		Does the solution allow for the batch-deletion of entries after pre-selection from search results?	I			
88		Following the deletion of an entry, will the indices be updated immediately?	O			

89		*Does the solution have a 'roll-back' functionality (E.g. changing the status of entries to 'deleted' and removing them from the indices, but without erasing them immediately from the database. Permanent deletion of these entries from the database may be triggered at a later stage by the data manager.)?*	*D*			
90		Will the solution produce log files to detail the modifications?	**I**			
	3.2 Holdings management					
	3.2.1 Acquisition management					
91		Does the solution provide functionalities for the description of acquisitions which are compliant with the ISAD(G) standard?	**O**			
92		Does the solution provide functionalities for the creation and management of originating services authority records which are compliant with the ISAAR(CPF) standard?	**O**			
93		*Does the solution support the workflow for the submission/validation of acquisitions?*	*D*			
94		Does the solution allow for the creation of an acquisition register?	**I**			
95		*Can the solution provide functionalities for processing acquisitions?*	*D*			
96		Are acquisition descriptions indexed and searchable, depending on their status?	**O**			
97		Does the solution provide reports based upon acquisitions?	**O**			
98		Does the tenderer provide a list of standard reports which are available in the solution?	**O**			
99		Does the solution allow for the creation of new or customised reports?	**O**			
	3.2.2 Location management					
100		Does the solution allow for a multilevel hierarchical description of the storage facilities?	**O**			
101		Does the solution allow for the description of various types of storage facilities (e.g. map cabinet, virtual storage for electronic documents, temporary location, etc.)?	**I**			
102		Does the solution allow for the description of various containers (type and length)?	**I**			
103		*Does the solution provide a visual display of the storage facilities?*	*D*			
104		Does the solution allow for the easy modification of all components of the description of the storage facilities (levels, label of levels, etc.) and of the composition of the coordinate set of the location address?	**O**			

105		Does the solution automatically calculate all meterage values?	**O**			
106		Does the solution support continuous and dispersed location?	**I**			
107		Does the solution provide mechanisms for relocation, whether manual or by batch?	**O**			
		Does the location address appear in the acquisition and archival description entries:				
108		• at acquisition or fonds level by displaying the addresses of the first and last containers for each continuous part?	**O**			
109		• at component level by displaying the address of the container?	**O**			
110		Does the solution provide reports based upon location management?	**O**			
111		Does the tenderer provide a list of standard reports which are available in the solution?	**O**			
112		Does the solution allow for the creation of new or customised reports?	**O**			
	3.2.3 Access rights management					
113		Are access restrictions and permissions which are applied to groups of users managed independently of the solution's users?	**O**			
114		Can access restrictions and permissions be applied to both the document itself and the description thereof?	**O**			
115		Does the forbiddance of access to the description imply that access to the related document(s) is also forbidden?	**O**			
116		Does the solution allow for the creation of access rules authority records?	**O**			
117		Do access rights appear in acquisition and archival descriptions by inheritance from the access rules linked thereto?	**O**			
118		Can access rights be managed by the data manager at the Historical Archives?	**O**			
	3.3 Hierarchical structure					
119		Does the solution support a hierarchical description which is compliant with the ISAD(G) principles?	**O**			
120		Does the solution link archival descriptions according to their hierarchical structure?	**O**			
121		Does the solution allow for the inheritance of information from one level to another (both ascendant and descendant)?	**O**			
	3.4. Arrangement					
	3.4.1 Workflow					

122		*Does the solution support the arrangement workflow?*	*D*			
123		When processing digitally born documents, does the solution allow for the documents to be displayed alongside the description forms?	**O**			
124		When processing digitally born documents, can the archivists link brief descriptions to the relevant documents?	**O**			
125		Upon validation of the arrangement, is the hierarchical structure frozen and the reference code automatically created according the archivist's specifications (e.g. attached to an existing fonds or representing a new fonds)?	**O**			
	3.4.2 Requirements					
126		Does the brief description comply with the ISAD(G) standard and consist of at least the following elements: originating service, title, start date and end date?	**O**			
127		During the arrangement process, can the archivist define the appropriate hierarchical structure for organising the archives?	**O**			
128		Does the solution allow for the use of pre-defined and custom-built classification schemes?	**I**			
129		Can the creation of hierarchical structure templates be done at data-manager level using tools that are available in the solution, meaning that no IT development should be required?	**I**			
130		During the arrangement process, can the description form always be complemented with a hierarchical display of the description structure and all of its component parts?	**I**			
131		Is the hierarchical display unlimited by depth and breadth?	**I**			
132		Does the hierarchical display support drag-and-drop modification?	**I**			
133		Can the solution produce a separator sheet for digitisation which contains the coded identification of the document in both barcode – for managing the scanner – and plain text formats?	**I**			
134		Does the solution provide reports based upon the arrangement descriptions?	**O**			
135		Does the tenderer provide a list of standard reports which are available in the solution?	**O**			
136		Does the solution allow for the creation of new or customised reports?	**O**			
	3.5. Archival description					
	3.5.1 Workflow					
137		*Does the solution support the description workflow?*	*D*			

138		Can an archival description be directly created from a pre-defined classification scheme and from the result of an arrangement project?	O			
139		When processing digitally born documents, does the solution allow for the documents to be displayed alongside the description forms?	O			
140		When processing digitally born documents, can the archivists link brief description to the relevant documents?	O			
	3.5.2.Requirements					
141		Is it possible to create archival description entries which comply with the ISAD(G) standard and which allow for flexibility, in particular by adding new elements of descriptive information, defining which elements are mandatory and removing those which are not?	O			
142		Does the solution allow for the existence of fields with multiple values and of repeatable fields, of which there is at least 150 occurrences?	O			
143		Does the solution allow for the creation of groups of fields and repetitions thereof?	I			
144		Does the solution allow for pre-defined archival description templates to be used for input forms?	I			
145		Can such templates be selected by the archivist from a list or called up by entering a specific value for an element?	I			
146		Can the data manager create and modify these templates using tools from the solution?	I			
147		Does the solution allow for the use of pre-defined and custom-built classification schemes (hierarchical structures)?	I			
148		During the archival description process, is it always possible to display the description form with a hierarchical display of the description structure and all of its component parts?	I			
149		Is the hierarchical display unlimited by depth and breadth?	I			
150		Does the hierarchical display support drag-and-drop modification?	I			
151		Is it possible to link the archival descriptions to other archival descriptions, authority records and documents?	O			
152		Upon validation, is each archival description suitably indexed in order to be searched using various criteria and to permit statistical extractions, with the possibility for arithmetic operations on the value of certain elements?	O			
153		Does the solution provide reports based upon the archival descriptions?	O			

154		Does the tenderer provide a list of standard reports which are available in the solution?	O			
155		Does the solution allow for the creation of new or customised reports?	O			
	3.6 Authority control (see also 3.1.1.)					
	3.6.1 Thesaurus					
156		Does the solution allow for the use of multilingual – at least bilingual French and English – thesauri?	I			
	3.6.2 Authority records					
157		Does the solution offer the possibility to input elements to the authority records in a flexible manner, in particular by adding new elements of descriptive information, defining which elements are mandatory and removing those which are not?	O			
	3.6.5 Authority lists					
		N/A				
	3.7 Indices					
	3.7.1 Types of index					
158		Does the solution suggest different types of index making it possible, for example, to index the content of an element or sub-element on a word-by-word basis or as a single-character string?	O			
159		Is it possible to index text elements in entries separately?	O			
160		Is it possible to create an index that groups a certain number of text elements or all of them?	O			
	3.7.2 Requirements					
161		Does the solution enable the data manager to create new indices or redefine existing ones?	O			
162		Does the solution provide for the filtering of entries before building the index?	O			
163		Will the data manager be able to perform re-indexing?	O			
164		Will the data manager be able to export the entire index?	O			
165		Is it possible to consult each index using a search form?	O			
166		Does the solution allow for the use of an unlimited number or length of indices or search criteria?	O			
167		Is it possible to cover several elements under one index?	I			
168		Is it possible to use several indices for a single element?	I			
	3.8. Import and export					

	3.8.1. Import and entries requirements					
169		Does the solution support the XML format for data import?	**O**			
170		Can the data manager trigger the import procedure without any server-level intervention?	**O**			
171		Does the import procedure check, as a minimum, the unique character of the entries?	**O**			
172		Can other consistency and coherency checks used for manual input be applied?	**O**			
173		Does the solution provide mechanisms for discontinuing or cancelling the import procedure should a predefined number of errors be exceeded, and produce a log file outlining the incident?	**O**			
174		Is it possible to carry out the import by choosing forced entry numbers or numbers that have been automatically allocated by the solution?	**O**			
175		During the import procedure, are inherited and calculated fields automatically filled in, as is the case with the validation of manual and batch input?	**O**			
	3.8.2 Export of data					
176		Is it possible to export data from different tables in at least XML format, with different options for the presentation of data?	**O**			
177		Is it possible to use the XML-EAD format to export the archival description data, in particular to produce finding aids?	**O**			
178		Is it possible to use the XML-EAC format to export the authority records for corporate bodies, persons and families?	**O**			
179		Is it possible to export complete entries selected in a given table without having to specify the elements that are to be exported?	**O**			
180		Is it possible to export selected elements in a given table or in different tables?	**O**			
	3.9 Relations					
181		Do all relations work both ways? It should be possible to display and reach the target entry from the entry at which the link has been created, and it should also be possible to display and reach the related entries from the target entry.	**O**			
182		*Does the solution support qualified links (i.e. those which qualify the type of relationship between the entry and the target entry)?*	*D*			
	3.10 Association and display of documents					
	3.10.1 Association of documents with entries					

183		Does the solution allow for any entry (at a minimum the arrangement, archival description entries, and the authority records) in any table to have associated documents?	O			
184		Does the solution support all office formats, as well as the most popular graphic and multimedia formats?	O			
185		Does the solution support the PDF/A format?	O			
186		Does the solution support all specified variations of the principle of linking document files to entries?	O			
187		Does the solution have sufficient flexibility for accepting the current file-repository tree structure, based on the reference codes of descriptive entries (see also Questions 3 and 4)?	O			
188		*Can the solution guarantee that each file stored in the file repository is unmodified by other systems/operations?*	*D*			
	3.10.2 Display of documents					
189		Is it possible to display office documents, including those in PDF/A format, alongside the description entry?	O			
190		Does the solution provide for the playing of multimedia documents attached to entries?	O			
191		Is it possible at all times to determine with ease, and without the slightest ambiguity, which document image corresponds to which entry?	I			
192		Is it possible to save the document on display under a 'standard' name suggested by the solution, but which can be modified by the user?	I			
193		Is it possible to send the document to a printer that is accessible from the workstation being used?	I			
194		*Does the solution have an option for adding either a watermark or a simple reference to the Historical Archives to the printed document?*	*D*			
195		Is it possible to attach the document to an email?	I			
	3.11 Searching					
196		Does the solution provide complex search facilities to respond to different kinds of information retrieval requests which offer professional users the possibility to combine an arbitrary number of search criteria from different fields within a table or combine fields from different tables?	O			
197		Does the solution offer also simpler search interfaces for non-professional users?	O			
	3.11.1 Query language					

198		Does the solution propose a query language to professional users?	O			
	3.11.2 Search forms					
199		Does the solution offer search forms that are suited to searching for any entry (acquisition, archival description, authority records, etc.)?	O			
200		Do the forms allow for searches using multiple criteria, with a reasonable number of possible criteria being proposed?	O			
201		Does the form allow for the consultation of each index used, from the beginning or based on a value depending on a root entered by the user in the search area?	O			
202		Does the solution propose a number of more frequently used indices by default, while always maintaining the option for the user to change them?	I			
	3.11.3 Search operators and tools					
203		Does the solution offer a set of logical and relational operators suitable for combining different types of search criteria?	O			
204		Is it possible to use these operators by selecting an arbitrary number of criteria from a list of element labels?	O			
205		Does the solution permit the truncation of empty fields by some method?	O			
206		Is the index search in text indices possible at form level?	O			
207		Does the index search make use of at least some concepts of adjacency and exact expression?	O			
208		Is it possible to perform a full-text search of PDF documents in image mode with text added by OCR, or in text mode combined with searching the indices?	I			
209		Does the text search offer certain functions as a minimum, e.g. truncation, exact expression, or implicit or explicit operators?	I			
210		Does the solution provide explicit instructions as to how it executes the search function and what restrictions exist?	O			
	3.11.4 Combined search					
211		Does the solution offer grouped searches or combined searches of two or more tables, as described under point 3.11.4 (Annex I.1: Technical specifications)?	I			
	3.11.5 Saving a search equation					
212		Does the solution offer the option of saving several search equations (per account) so that they can be performed at a later stage?	I			
	3.11.6 Search session – Reuse / Refining search					

213		Does the solution offer the concept of a search session, at least for professional searches?	I			
214		During the search session, is a history of searches retained to facilitate the reuse of certain lines that could be recombined with the help of Boolean operators?	I			
	3.11.7 Presentation of data					
215		Is the list of results displayed on request once the number of entries obtained has been revealed, thereby making it possible to refine the search as required?	O			
216		In case of a single response, is the entry immediately displayed?	O			
217		Is it possible to select in the list of results the entries to be displayed, with the full list being the default setting?	I			
218		Is it possible to select or deselect all, and to select an individual entry or a range of entries?	I			
219		Can the data manager determine and modify the pre-set identifier to be used by default in the list of results?	O			
220		Does the solution also provide user-defined identifiers that would take the form of models, which would be called up – e.g. according to the type of entry – when the results are displayed?	I			
221		When the identifiers comprise several components and are displayed in the form of a table, is it possible to carry out direct and reverse sorting by clicking on the header for each element?	O			
	3.11.8 Display of entries					
222		Is it possible for entries to be displayed in different presentations that can be configured by the data manager (no server-level intervention being required)? By default, two pre-selected displays of the entries should be offered to non-professional users (a 'short entry' and a 'long entry'), with the option of toggling between the two.	O			
223		Is it possible for the data manager to create different display models for professional users?	O			
224		Is the entry grid which corresponds to the entry type always available in the expert search mode?	O			
225		Can the solution provide a display of single values for selected fields?	I			
226		Does the solution allow for the printing of search results on a printer which is accessible from the workstation used for the search, reproducing the list as configured or proposing similar configuration options?	I			

227		Does the solution allow for the export of search results to office software, including, inter alia, spread sheet and word processor, reproducing the list as configured or proposing similar configuration options?	I			
228		Does the solution allow for the creation of export models by the data manager or the user which are accessible during searches, at least in expert mode?	I			
229		Does the solution allow for the creation of pre-set export models, to be established by the data manager and offered by default, providing for the inclusion of the content of selected fields, in any order, with a default or ad hoc label and the addition of inserted text?	I			
230		Does the solution allow for the creation of user-defined export models which would remain private, though with the possibility for them to be made public with the agreement of the data manager?	I			
	3.11.9 Search help					
231	3.11.9.1 Search by navigation in the hierarchical structure	Does the solution provide a fully and easily navigable display of the hierarchical structure of the holdings?	O			
232		By clicking on the description identifier, does the descriptive entry for this unit display?	O			
233		Is it possible to return from the entry display to the tree structure display?	O			
234		Is it possible to switch easily between the navigation in the hierarchical structure and the pre-filled search form as described in point 3.11.9 (Annex I.1: Technical specifications)?	I			
235	3.11.9.2 Faceted search and filters	Does the solution propose faceted search or filters as a search help, in particular for non-professional users (it should be possible for the data manager to define the filters)?	I			
	3.12 Data management					
	3.12.1 Management of archival description models					
236		Does the solution allow the data manager to create new description models or add a new element to a description entry, and to modify the definition of an element in such a way that it is not incompatible with the data that has already been entered, for example by increasing the length of the definition?	O			
	3.12.2 User management					
237		Is it possible for identified and unidentified users to make use of the database, with unidentified users being treated as belonging to a special group?	O			

238		Does the solution support the European Parliament's centralised system for controlling access to identify access?	0			
239		Does the solution allow the Historical Archives to manage identified users and the groups to which they belong?	0			
	3.13 Interface					
240		Does the solution provide user-friendly interfaces which are tailored to both public users and internal professional users?	0			
	3.14 Internet					
241		Is it possible to access the solution via the internet?	0			

Annex IV-Form9: List of Substantiated documents requested

DOCUMENT CHECK LIST

The current check list is proposed to help the tenderer to send all the required documents.
Please indicate in the table whether the required document is filled and joined in your tenderer's offer.
The current annex may be included in the offer.

Documents	Tick only one of the available boxes	
EXCLUSION CRITERIA		
Form0: Declaration on the tenderer's honour	☐ Yes	☐ No
Form1: Financial identification form - supplier	☐ Yes	☐ No
SELECTION CRITERIA		
Form6: Selection criteria questionnaire	☐ Yes	☐ No
Proof of his authorisation to perform the contract	☐ Yes	☐ No
Proof of status and legal capacity	☐ Yes	☐ No
Balance sheets	☐ Yes	☐ No
Form4: Financial data sheet	☐ Yes	☐ No
CVs	☐ Yes	☐ No
A list of the principal services provided	☐ Yes	☐ No
Form5: Conformity to the European Parliament's IT environments + Technical documents	☐ Yes	☐ No
AWARD CRITERIA		
Form7: Questionnaire about the provision of services and performance	☐ Yes	☐ No
Form8: Functional requirements questionnaire	☐ Yes	☐ No
Annex V: Price List	☐ Yes	☐ No
Proposed SLA	☐ Yes	☐ No
A **demonstration DVD-ROM**	☐ Yes	☐ No
Samples, catalogues and other documents	☐ Yes	☐ No
GENERAL DOCUMENTS		
Form2: Information sheet concerning consortiums	☐ Yes	☐ No
Form3: Declaration concerning subcontractors	☐ Yes	☐ No
Articles of association	☐ Yes	☐ No
Form9: List of Substantiated documents requested	☐ Yes	☐ No

Annex V: Price list

(TO BE FILLED BY THE TENDERER)

Price list

Name of company	
VAT registration number	
Correspondence address	
Address of European headquarters if different from above	
Contact name for contract	
Telephone number	
Fax number	
E-mail	

Name of software publisher	
Name of software	
Version of software	

Basic supply	
Global cost for the Basic supply	
The flat-rate price for the **acquisition** of the licence with functionalities classified as O-Obligatory (cf. Annex IV-Form8), **installation and adaptation** of the documentation and archive management software offered, recovery of the data and documents in the existing system and entering them in the new one.	----------Price* (in euros, excl. tax)
Price list for the Basic supply	
Flat-rate price for the **acquisition** of the licence with functionalities classified as O – Obligatory.	----------Price* (in euros, excl. tax)
Flat-rate price for the **installation** of the proposed documentation and archive management software.	----------Price* (in euros, excl. tax)
Flat-rate price for the **adaptation** of the proposed documentation and archive management software.	----------Price* (in euros, excl. tax)
The price for the **recovery of the data and documents** in the existing system and entering them in the new one.	----------Price* (in euros, excl. tax)

(*): Covers all costs, including any travel and/or subsistence costs for technicians and project team leader and delivery costs, excluding VAT.

Page of	Date:	Initials:

SERVICE CONTRACT	
MAINTENANCE	
Type of maintenance period	
The cost of annual maintenance during the warranty period of two years (irrespective of the number of users)	----------Price* **per year** (in euros, excl. tax)
The cost of annual maintenance beyond the warranty period for the licence (irrespective of the number of users)	----------Price* **per year** (in euros, excl. tax)
CONSULTANCY	
Price of on-site consultant per day*	----------Price* **per day** (in euros, excl. tax)
SUPPORT	
ON-SITE SUPPORT Price of on-site technician per day*	----------Price* **per day** (in euros, excl. tax)
EXTERNAL SUPPORT (Help-desk) Price of technician per day*	----------Price* **per day** (in euros, excl. tax)

ADDITIONAL PRICE LIST FOR SUPPORT (price in euros, excluding tax)			
	Price per Hour	**Price per Hour**	**Price per Hour**
Type of service	Work during European Parliament's normal working hours (8.30–17.45)	Work outside European Parliament's normal working hours (8h30-17h45)	Work outside European Parliament's normal working days upon European Parliament's request.
EMERGENCY SUPPORT			

(*): Covers all costs, including any travel and/or subsistence costs for technicians and project team leader and delivery costs, excluding VAT.

DEVELOPMENT		
Type	Activities	Price of developer per day* (in euros, excl. tax)
Type 1	Miscellaneous	---------- Price* **per day** (in euros, excl. tax)
Type 2	Implementing the functionalities classified as I-Important and as D-Desirable	---------- Price* **per day** (in euros, excl. tax)

(*): Covers all costs, including any travel and/or subsistence costs for technicians and project team leader and delivery costs, excluding VAT

TRAINING (see detailed description in point 2.3.1 of the Requirements relating to service levels (SLA))		
Type of course	Length of course (in days)	Price per day** (in euros, excl. tax)
User	----------	---------- Price** **per day** (in euros, excl. tax)
User support	----------	----------Price** **per day** (in euros, excl. tax)
Technical maintenance	----------	----------Price** **per day** (in euros, excl. tax)

(**) : Covers all costs, including course materials, excluding VAT, any travel and/or subsistence costs for trainers and technicians, software installation (on PCs in training room or on trainer's PC, etc.).

Name and signature: Company stamp:

Annex VI: Label to be affixed to the outer and inner envelopes when a tender is sent

Label to be affixed to the outer and inner envelopes when a tender is sent

To be used and completed to help ensure that the tender is sent to the relevant department at the European Parliament

European Parliament
For the attention of DG ITEC/DIRES-PAC
INVITATION TO TENDER – CLAVIS14
EUROPEAN PARLIAMENT
Official Mail Service
Konrad Adenauer Building, Room 00D001
L-2929 LUXEMBOURG
- the reference of the invitation to tender:
INVITATION TO TENDER - PE/ITEC-CLAVIS14
NOT TO BE OPENED BY THE MAIL UNIT
OR ANY UNAUTHORISED PERSON

In the case of several packages or envelopes: make copies of the label and repeat the operation