

THE NATIONAL ARCHIVES

CLOUD-BASED GRANT MANAGEMENT SYSTEM

INVITATION TO TENDER

DEADLINE FOR TENDER SUBMISSIONS - 5PM (UK TIME), 20 AUGUST 2018

1 ABOUT US

- 1.1 The National Archives (TNA) is the official archive and publisher for the UK government, and for England and Wales, holding official records containing 1,000 years of history. Our role is to collect and secure the future of the government record, both digital and physical, to preserve it for generations to come, and to make it as accessible and available as possible. We are a non-ministerial department and our parent department is the Department for Culture, Media and Sport. More information on TNA can be found at www.nationalarchives.gov.uk. [Archives Inspire](#) sets out our plans for the next few years.
- 1.2 TNA holds over 11 million historical and government records, houses approximately 550 staff and currently welcomes approximately 80,000 visitors per year.
- 1.3 TNA also fulfils a leadership role for the archive sector and work to secure the future of physical and digital records throughout the UK. As part of this role we administer several modest grant funds, with significant monitoring and reporting requirements, hence the need for an end-to-end grant management solution.

2 THE REQUIREMENT – GENERAL INFORMATION

- 2.1 TNA wishes to procure a cloud-based grant management system.
- 2.2 The purpose of this Procurement Process is to selecting a Supplier to provide:
- (a) all licensing as may be required;
 - (b) hosting;
 - (c) software set-up and configuration, and/or comprehensive configuration training; and
 - (d) light touch support and training. Typically, we would anticipate support being provided by telephone and by e-mail.
- for the period 1 October 2018 to 30 September 2021 inclusive (i.e. three years).
- 2.3 The system **MUST** be independently certified against recognised information security standards such as ISO270001.
- 2.4 The solution will have to be able to support a dual-factor authentication.
- 2.5 The maximum available budget for this project is £10,000 (inclusive of all taxes and expenses). NOTE: TNA is able to reclaim VAT on cloud products. We would ask you to detail in your contract price where VAT is chargeable by yourselves, and whether each VAT-able line item relates to a cloud service or not. The budget of £10,000 is exclusive of VAT recouped by TNA in this way.

3 THE REQUIREMENT – USERS

3.1 The system will have 5 key user types:

- i. Grant Applicant – submits an online funding application via <http://www.nationalarchives.gov.uk/archives-sector/finding-funding/archives-revealed/>

Grant Applications are submitted by Archive Organisations based in the UK that can be sub-categorised according to TNA's distinct external audiences:

- Public Sector, Independent, Business, Charitable, Higher Education, Schools.
 - Current volumes are 150 applications per year (220 applications anticipated 18/19).
- ii. Grant Manager - manages the grant application process. (Two Grant managers who are TNA employees).
 - iii. Funding Organisation (FO) - provides grant funds (One login required).
 - iv. FO Finance Manager - reconciles grant payments (One login required, could be shared with iii).
 - v. Assessment Panel - Reviews and approves applications. This is an independent panel, external to TNA (10 reviewers, external to TNA)

3.2 Each user type will follow their own user story, as outlined below and further detailed in the subsequent table:

- “As a... [Who is the user?]
- I need/want/expect to... [What does the user want to do?]
- So that... [Why does the user want to do this?]
- Followed by specified ‘Conditions of Satisfaction’.

Requirements of the system are listed in the column ‘Conditions of Satisfaction’ as ‘Must’ (essential), ‘Should’ (desirable) or ‘Should Not’.

| Ref | As a... | I need/want/expect to... | So that... | Conditions of Satisfaction |
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| 1 | Grant Applicant | Complete a form with my grant application information | I can submit a grant application | The applicant MUST be able to preview Phase 1 questions before they start completing the form. The form MUST allow the applicant to save their progress and finish the form at another time. |
| 2 | Grant Applicant | Amend or add information to my application through the phase 1 process. | I can respond to requests for additional information regarding my application | The applicant MUST be alerted to a request for additional information via the portal. The applicant MUST be able to add/amend or upload additional |

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| | | | | information in various formats, up to the submission deadline. |
| 3 | Grant Applicant | Be kept up to date with the progress of my application(s) | I know where my application is in the grant approval process. | <p>The status of the application MUST be clear.</p> <p>The next stage deadline SHOULD be displayed.</p> <p>The status SHOULD be updated in real time.</p> |
| 4 | Grant Applicant | Receive feedback on my application | I know the outcome of my application and next steps | <p>The decision MUST be clear (approved or rejected).</p> <p>The system MUST generate an email alert to notify the applicant that a decision has been made.</p> <p>Applicants SHOULD be able to respond to feedback with their views on the application process</p> |
| 5 | Grant Applicant | Add information to my grant application if my phase 1 application has been approved | I can continue to Phase 2 if approved | <p>The applicant MUST NOT be able to alter any information previously submitted in Phase 1.</p> <p>The applicant MUST be able to add/amend or upload additional information in various formats, up to the submission deadline.</p> <p>The applicant MUST be able to preview Phase 2 questions before they start completing the form.</p> <p>The applicant SHOULD be able to view their Phase 1 application.</p> <p>The applicant SHOULD NOT have to retype information already submitted in Phase 1.</p> |
| 6 | Grant Applicant | Amend or add information to my application through the Phase 2 process. | I can respond to requests for additional information | The applicant MUST be alerted to a request for additional information via the portal. |

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| | | | regarding my application | The applicant MUST be able to add/amend or upload additional information in various formats, up to the submission deadline. |
| 7 | Grant Applicant | Receive feedback on my Phase 2 application | I know the outcome of my application and next steps | <p>The decision MUST be clear (approved or rejected).</p> <p>The system MUST generate an email alert to notify the applicant that a decision has been made.</p> <p>Applicants SHOULD be able to respond to feedback with their views on the application process.</p> |
| 8 | Grant Applicant | Complete a grant agreement form | I can provide the financial details of my organisation and accept the agreement terms and conditions as set out by the Funding Organisation. | <p>The System MUST generate an email alert to notify the application that they have to complete an action.</p> <p>The applicant MUST be able to complete the forms online.</p> <p>The system MUST be security assured to hold Official and financial information. For an explanation of 'Official', please see https://www.gov.uk/government/publications/government-security-classifications</p> |
| 9 | Grant Applicant | Submit responses to report requests when required | I can provide progress updates regarding my Grant Project | <p>The system MUST generate email alerts to remind the applicant to complete the reports as required through the project duration.</p> <p>The template MUST allow the applicant to save their progress and finish the form at another time.</p> |
| 10 | Grant Applicant | I can request the final payment | Notify the Funding Organisation that the | The applicant MUST be able to update the project with their Project Closure date. |

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| | | | project has ended | The System MUST generate a notification to the funding organisation that the final payment is due on the project closure date. |
| 11 | Grant Applicant | I can change the contact details for the grant account | I can provide access to this information to my replacement | The System MUST use two factor authentication to verify any change of account details. |
| 12 | Grant Manager | Offer a modern grant management solution to Archive Sector Grant Applicants and Stakeholders | I can automate the management of grant applications in a good way these applications using my corporate device whilst on or off site. | <p>The system MUST be independently certified against recognised information security standards such as ISO270001.</p> <p>The system SHOULD use Multi Factor Authentication for access.</p> <p>The system MUST be a cloud based solution to enable fully flexible and remote access.</p> |
| 13 | Grant Manager | Have the ability to manage global administration and make configuration changes. | I can make any changes to the administrative facility as required e.g. new Panel Members etc. | <p>The Grant Manager MUST be able to delegate permissions as required to administer the solution.</p> <p>The Grant Manager MUST be able to add or delete admin users as required.</p> <p>The Grant Manager MUST be able to configure the look and feel of solution in line with The National Archives branding.</p> <p>The Grant Manager MUST be able to make changes to workflow processes and settings according to operational processes.</p> |

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| 14 | Grant Manager | Create a Grant Application workflow | I can manage end to end communications with process stakeholders | <p>The system MUST allow applicants to create an account for their organisation to manage their application and grant project.</p> <p>The workflow MUST be configured easily.</p> <p>The system MUST be able to send email reminders and alerts to all users as required.</p> <p>The form MUST meet accessibility standards such as those outlined by the Web Content Accessibility Guidelines (WCAG) 2.0</p> <p>Certain form fields MUST have a configurable word count limit.</p> |
| 15 | Grant Manager | Request supplementary information regarding a specific application | I can request information to clarify any application points as requested by Panel Assessment members. | <p>The system MUST allow applicants to upload additional information as requested in a variety of formats.</p> <p>The system SHOULD allow the applicant to amend any application before the active phase deadline.</p> |
| 16 | Grant Manager | Update individual applications with the results of application sift and Panel Assessments. | I can record the outcome and decisions made for individual applications and share with stakeholders appropriately. | <p>The system MUST send an update to individual applicants with instructions for next steps.</p> <p>The system MUST generate a report of the successful applications and send to Funding Organisation.</p> |
| 17 | Grant Manager | Attach and send financial documents to successful applicants | I can request information on behalf of the funding organisation to set up the | <p>The applicant MUST be able to submit financial information (e.g. BACS information) securely online.</p> <p>The applicant SHOULD be able</p> |

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| | | | grant payee account. | <p>to complete any information forms online.</p> <p>The Funding Organisation SHOULD receive an alert informing them that the applicant has submitted their financial information.</p> |
| 18 | Grant Manager | Create tasks such as requests for online progress reports and allocate these tasks to system users throughout the life of the Grant project | I can manage admin requests online and share with stakeholders instantly. | <p>The system MUST create tasks scheduled in advance (up to a maximum of 3 years).</p> <p>The system MUST alert grantees that they have a task awaiting completion.</p> <p>The system SHOULD allow for documents such as invoices, receipts, expenses forms to be shared with the Funding Organisation.</p> <p>The system MUST inform the Grant Manager when those tasks have been completed.</p> <p>The system SHOULD allow the Grant Manager to configure tasks in survey format to aid easy data capture</p> |
| 19 | Grant Manager | Request notification from the Grantee that the project has finished. | I can inform the Funding Organisation to release the final payment. | The Applicant must be able to submit a final reporting form to confirm the end of the project. |
| 20 | Grant Manager | Generate Management Information for Senior Management and stakeholders | I can provide progress and status reports at each stage of the grant management process. | <p>The system MUST have the facility to configure reports and create adhoc reports.</p> <p>The system MUST allow for reports to be exported into a variety of common formats.</p> |
| 21 | Grant Manager | Search for previous applications | I can find historical Grant | The system MUST have the facility for manual deletion of some or all records as required. |

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| | | | Application or Grant Project information easily. | The system MUST allow for Wildcard search. |
| 22 | FO Finance Manager | receive BACs forms and financial details from the Grant Manager | I can send the initial 50% payment to grantee. | <p>The system MUST notify the Grant Manager when this has been done.</p> <p>The system MUST restrict access to financial information via permissions.</p> |
| 23 | FO Finance Manager | receive invoices and expenses requests from the Grant Manager | I can reconcile incoming funds for each specific account. | <p>The system MUST deliver this information securely.</p> <p>The system MUST be allow for invoices/receipts to be attached.</p> <p>The system SHOULD easily allow me to mark the task as complete.</p> <p>The system COULD send these requests as a workflow task with a timescale for completion.</p> |
| 24 | FO Finance Manager | receive a regular report providing management information on currently funded projects | I can monitor the fund budget | <p>The system MUST be able to generate various reports regarding the current budget and reconciliation activity.</p> <p>The system SHOULD allow me to generate my own reports.</p> |
| 25 | FO Finance Manager | add notes to grantee accounts like ' final payment made date (mm/yy)' | I can inform stakeholders of any financial changes to the account. | <p>The system MUST allow for notes to be added.</p> <p>The system COULD send notifications when a note is added to an account.</p> |
| 26 | Assessor | complete a conflict of interest register prior to each assessment round | I can take part in the assessment process | The system MUST notify the Grant Manager when this has been done. |

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| 27 | Assessor | receive the applications in phases | I can review and assess the proposal | <p>The system MUST notify me that I have assessments to review.</p> <p>The system SHOULD allow for me to add notes to the application and send these to the Grant Manager.</p> |
| 28 | Assessor | submit my scores regarding each specific application. | The application is rejected or successful | The system MUST remind me to input my scores by a target date. |

4 HOW TO RESPOND

- 4.1 If you have any clarification questions related to this requirement, please submit these to procurement@nationalarchives.gov.uk by Thursday 16th August 2018.
- 4.2 Please submit your response to this requirement to procurement@nationalarchives.gov.uk by Monday 20th August 2018.
- 4.3 Your response should comprise the following:
- 4.3.1 Your **contract price** for the requirements specified in this document, inclusive of all required services, for the full contract term of 3 years. Unless you specify otherwise, we will assume that;
- a) TNA will have the ability to increase license volumes annually based on business needs, and that any additional licenses will be supplied at the unit prices specified in your response;
 - b) TNA will have the ability to reduce license volumes annually based on business needs, and that the total annual price will reduce accordingly.
- NOTE: TNA is able to reclaim VAT on cloud products. We would ask you to detail in your contract price where VAT is chargeable by yourselves, and whether each VAT-able line item relates to a cloud service or not.
- 4.3.2 Details of the **capabilities of your system** as they relate to our requirements. To assist us in evaluating your system, please submit the accompanying Excel spreadsheet indicating whether your system can fulfil each criteria (you may add notes to the sheet if you wish).
- 4.3.3 A description of how you propose to **add value** and benefit to The National Archives throughout the contract period, in particular by providing examples of your expertise, your experience of the public sector environment/archive sector, any relevant industry certifications you hold to support this element of your submission, and any innovative functionality that offers benefit to end users above and beyond requirements detailed (for example collaboration, analysis etc).
- 4.3.4 Your proposed **Service Level Agreement** (SLA) that will apply throughout the contract period. As a minimum, you should describe your service hours of operation and response times.
- 4.3.5 Your **ISO 27001 certification**.
- 4.4 If you have any creative proposals as to how our requirements could be delivered in a more cost effective way than currently specified, please feel free to include these in your response.

5 EVALUATION CRITERIA

Responses will be evaluated as follows:

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| Price (Section 4.3.1) | 20% |
| Quality (Sections 4.3.2, 4.3.3, 4.3.4 and 4.4) | 80% |
| ISO 27001 certification (Section 4.3.5) | Pass/Fail |

Following this evaluation, TNA may wish to ask a maximum of three Potential Suppliers to demonstrate their solution. The demonstration will then be considered among the other Quality elements when making a contract award decision.

6 PROCUREMENT TIMETABLE

| Description | Date(s) |
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| Invitation to Tender issued | 25 July 2018 |
| Deadline for submission of clarification questions | 12 noon, 16 August 2018 |
| Deadline for TNA to answer clarification questions* | 5pm, 17 August 2018 |
| Deadline for submission of Tender Responses | 5pm, 20 th August 2018 |
| Timebox for TNA to evaluate submissions | 20 th August to 4 th September 2018 |
| Timebox for TNA to invite shortlisted suppliers to demonstrate their solution | 4 th September to 14 th September 2018 |
| Contract award | 17 th September 2018 |

**Any clarification question that TNA deems to be relevant to more than one Potential Supplier will be shared with all Potential Suppliers via Contracts Finder.*

TNA reserves the right, at its sole discretion, not to appoint for this requirement.