

## **THE NATIONAL ARCHIVES**

### **REVIEW AND OPTIONS APPRAISAL OF THE CAPTURE, DISSEMINATION AND USE OF STATISTICAL EVIDENCE WITHIN THE ARCHIVE SECTOR**

#### **INVITATION TO TENDER**

**DEADLINE FOR TENDER SUBMISSIONS - 5PM (UK TIME), 30 NOVEMBER 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. We are the guardians of some of our most iconic national documents, dating back over 1,000 years. We are an accredited archive service.
- 1.2 Our 21st-century 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.
- 1.3 We are also responsible for leadership of the archives sector in England and our approach is framed by the new strategic vision for archives: Archives Unlocked. One of the key themes in Archives Unlocked is Impact, with “piloting approaches to using data and evidence” identified as a key activity within this theme.
- 1.4 The archive sector is diverse. Archivists and archival collections are found within local authorities, Higher Education Institutions (HEIs), businesses, health organisations, charities, historic houses, community groups, cultural organisations, etc. Despite these apparent differences, the archive sector has a strong collective identity and those who work in and with the sector are quick to recognise and value the characteristics that unite them as well as the diversity within the sector.

## 2 BACKGROUND

2.1 This invitation to tender specifies the requirements for a review of the current schemes for the capture, dissemination and use of statistical evidence within the archive sector. The review will comprise:

- a mapping exercise to identify existing statistics and Key Performance Indicators (KPIs) which are captured and used by the archive sector, highlighting duplication, contradictions and gaps
- Interview-based and/or focus-group based research with key stakeholders to identify perceived constraints, weaknesses, strengths and opportunities with existing statistics and KPIs and the schemes used to collect and collate data, produce reports thereon and disseminate the data and findings to contributors and key stakeholders within the sector
- an options appraisal for improving on existing KPI sets and schemes, extending and / or streamlining the range of KPIs to include all typical areas of activity in the sector, improving participation in data capture mechanisms, improving the intelligence gained from the KPIs and the use and dissemination thereof

2.2 TNA's role in statistical data capture and analysis:

- The Archive Sector Development department (ASD) encourages participation in existing schemes to support service resilience and development through intelligent use of management information by service managers and practitioners.
- ASD uses the data as part of a suite of resources which provide intelligence and data about the wellbeing of the sector, to inform our sector development role.
- ASD and TNA as a whole increasingly analyse and interpret the data to identify trends within the sector and to inform policy development, prioritisation of resources, requirement for tailored support for individual services, the development of guidance etc.
- ASD has the ambition to help the sector to better demonstrate impact through working with organisations such as What works wellbeing.
- An ASD staff member represents TNA on the Chartered Institute of Public Finance and Accountancy (CIPFA) working group.
- TNA does not have the capacity or resources to assume responsibility for organising and delivering a sector-wide annual statistics gathering exercise.

2.3 Project drivers:

- The archive sector is experiencing a period of considerable change. Some changes are the result of significant factors outside the sector itself, such as the adverse impact of austerity measures on core budgets. Others owe more to innovation within the sector itself, such as an increased focus on audience development, working with volunteers, a readiness to work in partnership, managing born-digital records and more considered approaches to collections development. The pace and nature of these changes prompt questions over whether the statistics and KPIs that the sector has traditionally worked with remain valid, relevant and comprehensive.
- The archive sector is diverse and archive services tend to be relatively small-scale functions within a much larger organisation. There is no single statistical data

collection scheme for the sector. This means that archive services tend to complete only those statistical returns relevant to their parent body, e.g., CIPFA returns are completed by local authority archive services, SCONUL by archives located in HEIs, etc. Some services, particularly independent archive services, may well not complete a statistical return at all. The overall picture is piecemeal as a result.

- Some of the perceptions that have prompted this review include, but are not limited to the following:
  - Staff numbers within some archive services have fallen sharply in recent years, leaving service heads with difficult decisions concerning prioritisation of tasks. Anecdotal evidence suggests that some services are finding it difficult to collect and collate KPIs and statistics
  - Archive services may struggle to identify good practice / potential project partners within archive services located in different types of organisation to their own because the reporting regimes are different. The piecemeal nature of data collection schemes is a barrier to sector-wide analysis and intelligence
  - Some local authorities are opting out of CIPFA membership for cost reasons. This may have weakened the ability to make robust assumptions based on this data and hamper use by those services who have opted out.
  - Some services have identified the cost of participating in the CIPFA scheme as a barrier to contributing data. This is particularly the case for archive services run by local authorities which have opted out of a CIPFA subscription.
  - Some local authority archivists are reporting problems obtaining financial data from their finance colleagues. This may be a particular problem for those services which have “spun out” and where links to the local authority finance teams are more tenuous than before. The problem relates principally to information about the allocation of central “overheads” to the archive service.
  - SCONUL’s University Library statistics exercise includes just a handful of statistics which relate to the management and delivery of an archive service and as a consequence, the resulting report / data is unlikely to meet fully practitioners’, managers’ and other stakeholders’ needs. Units of measurement for some key metrics differ from those in bigger data collection schemes such as CIPFA.
  - Some archive services “fall through the gap” in that they do not participate in any of the existing schemes. This may be particularly true of independent, business and charity archives
  - There is untapped potential to do more with the data collected than is currently the case. Ongoing reports on trends within the sector, sector-wide analysis of particular professional activities, challenges and opportunities are all difficult with the current piecemeal mechanisms and a bias towards service-based rather than issue-based reporting. The ability to undertake trend analysis is also desirable.
  - The increasing breadth of activity undertaken by archive services is not necessarily reflected in the statistics and KPIs that the sector typically works with.
  - The more volatile pattern of participation contributes to difficulties in using the data for trend analysis.

- The interview and focus group elements of this project should test these perceptions and use the findings to inform the options analysis which will form the main part of the project deliverables.

2.4 The following further details are outlined in this document:

- The service to be provided.
- The information to be provided by tenderer.
- The terms of business relating to the award of any contract.
- Anticipated timetable for the programme.

2.5 The maximum budget available for this project is £12,500 excluding VAT but including and all travel and other expenses. The contractors will work with TNA to select venues and caterers for the focus-group meeting(s). These costs will be met by TNA.

2.6 This contract is subject to staged payments coinciding with key project milestones, namely:

- Completion of desk research and audit of existing KPIs - 30%
- Completion of interviews/focus-groups and associated report on findings - 30%
- Project completion - 40%

### 3 THE REQUIREMENT

3.1 The project has several purposes:

- To undertake a mapping exercise to identify existing statistics and Key Performance Indicators (KPIs) which are captured and used by the archive sector, highlighting duplication, contradictions and gaps.
- To carry out interview-based and/or focus-group-based research with key stakeholders to identify perceived constraints, weaknesses, opportunities and strengths with existing statistics and KPIs and the schemes used to collect and collate data, produce reports thereon and disseminate the data and findings to contributors and key stakeholders within the sector; to deliver a brief report setting out the findings of this research.
- To produce a pragmatic options appraisal for improving on existing KPI sets, extending the range of KPIs to include all typical areas of activity in the sector, improving participation in data capture mechanisms, improving the intelligence gained from the KPIs and the use and dissemination thereof.

3.2 The following data collection schemes are within scope for this project:

3.2.1 Chartered Institute of Public Finance and Accountancy (CIPFA). CIPFA oversees the collection, collation, analysis and publication of Archive Services Statistics. Participation in this exercise is by local authority archive services. Archive services which were previously under local authority control but which have been “spun out” to alternative governance models are still able to complete returns under this scheme.

<https://www.cipfastats.net/news/newsstory.asp?content=23372>

3.2.2 Archives and Records Association (ARA) Survey of Visitors and the Distance Users of Enquiry Services. Archive services of all types are invited to participate in these surveys which are co-ordinated and overseen by the professional body for the sector, and administered by CIPFA

<http://www.archives.org.uk/what-we-do/archive-surveys.html>

3.2.3 Standing Conference of National and University Libraries (SCONUL). SCONUL oversees the collection, collation, analysis and publication of statistics relating to University Library activities. Archives form a small sub-set within this scheme.

<https://www.sconul.ac.uk/tags/sconul-statistics>

3.2.4 The National Student Survey. The National Student Survey (NSS) gathers students’ opinions on the quality of their courses.

<https://www.thestudentsurvey.com/>

3.2.5 HM Government’s Taking Part Survey.

<https://www.gov.uk/guidance/taking-part-survey>

3.3 In addition to the above, the Archive Service Accreditation Standard publishes an annual statistics and outcomes report. This falls outside the scope of the current

review but we bring it to the attention of potential consultants on this project as useful contextual data:

<http://www.nationalarchives.gov.uk/archives-sector/archive-service-accreditation/accredited-archive-services/>

3.4 We are happy to discuss the inclusion of other data sets if consultants have identified other suitable providers of data.

3.5 The Supplier will work with TNA to liaise with key contacts and to arrange focus groups. The contacts below are given as an indicative list of the types of stakeholder that the supplier will be expected to engage with as part of this contract.

- The National Archives
- Archives and Records Association
- SCONUL
- Department for Digital Culture Media and Sport
- CIPFA Working Party
- Arts Council England
- Heritage Lottery Fund
- Libraries Task Force
- Special interest networks within the archive sector.

3.6 Project deliverables:

- A report presenting the range of statistics and KPIs currently captured and the details of the scheme that collates them. The report should include a commentary on duplication between schemes and on any contradictions (for example, different schemes require archive holdings to be measured in different ways – cubic metres vs linear metres). The report should also consider whether there are any aspects of typical activity (such as those covered by the Archives Service Accreditation Standard - <https://www.nationalarchives.gov.uk/documents/archives/archive-service-accreditation-standard-june-2018.pdf>) - which are not represented or not fully represented by the current schemes. The report should also present information about the levels of participation in each scheme by the archive services to which it relates.
- A series of targeted interviews and/or focus-groups with key stakeholders to inform an evaluation of the constraints, weaknesses, opportunities and strengths with existing statistics and KPIs and the schemes used to collect and collate data, produce reports thereon and disseminate the data and findings to contributors and key stakeholders within the sector.
- A report presenting an analysis of the conclusions drawn from the focus-groups and interviews.
- A validation session on the above with key TNA staff and other stakeholders at TNA's invitation.
- A pragmatic options appraisal which identifies possible next steps with the overall aim of increasing participation in data capture schemes and improving the intelligence gained from the KPIs and the use and dissemination thereof.

3.7 Key Dates and Milestones:

Project initiation	w/c 7 January 2019
Desk research and audit of existing KPIs	w/c 14 January 2019
Report on findings submitted to TNA	w/c 11 February 2019
Stakeholder interviews / focus-groups	w/c 18 February 2019
Validation session with TNA	w/c 18 March 2019
Options appraisal submitted to TNA	w/c 6 May 2019
Project completion and de-brief	w/c 13 May 2019

## **4 HOW TO RESPOND**

- 4.1 If you have any clarification questions related to this requirement, please submit these to [procurement@nationalarchives.gov.uk](mailto:procurement@nationalarchives.gov.uk) by 12 noon, Friday 26<sup>th</sup> October 2018.
- 4.2 Please submit your response to this requirement to [procurement@nationalarchives.gov.uk](mailto:procurement@nationalarchives.gov.uk) by 5pm Friday 30<sup>th</sup> November 2018.
- 4.3 It is for you to decide how to present your proposal in a clear and comprehensive fashion. However your proposal should include the following as a minimum:
- Your understanding of the project and deliverables.
  - Your experience suited to the project subject and proposed methodology.
  - A timetable of delivery.
  - Names and experience of individuals assigned to the project, with clarity on their involvement with each phase or unit of the work.
  - Your contract price – including breakdown for costs of each phase or unit of work, day rate of each team member and other costs or expenses. Note: the maximum budget available for this project is £12,500 excluding VAT but including and all travel and other expenses.
- 4.4 TNA may wish to ask Potential Suppliers to attend TNA premises for a presentation of their proposal and to ask questions. Presentations will be held during the week commencing 10 December 2018.

## 5 EVALUATION CRITERIA

5.1 Responses will be evaluated as follows:

CRITERIA	MAXIMUM AVAILABLE SCORE	WEIGHTING	MAXIMUM AVAILABLE WEIGHTED SCORE
Extent to which proposal demonstrates an understanding of the brief	10	2	20
Knowledge and experience relevant to the project: understanding of the breadth and scope of the archive sector and its data collection schemes	10	2	20
Knowledge and experience relevant to the project: understanding schemes for collecting, analysing, reporting on and disseminating statistical data	10	1	10
Quality of methodology and experience in relation to desk-based research, stakeholder engagement, and development of options appraisal	10	2.5	25
Proposed team composition and management	10	1.5	15
Cost	10	1	10

5.2 In relation to cost, the lowest priced submission will receive the maximum score of 10. All other scores will be reduced by the proportion by which they are more expensive; for example a bid which is 20% more expensive than the lowest price will receive a score of 8.

5.3 TNA may wish to ask Potential Suppliers to present their solution. The presentation will then be considered among the other Quality elements when making a contract award decision.

## 6 PROCUREMENT TIMETABLE

Description	Date(s)
Deadline for submission of clarification questions*	12 noon, 26 October 2018
Deadline for submission of Tender Responses	5pm 30 November 2018
Presentations	Week commencing 10 December 2018
Contract award	21 December 2018
Project initiation	Week commencing 7 January 2019

\*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.

## **7 TERMS AND CONDITIONS**

The contract shall be governed by the short form conditions for services published [here](#).

Please note that the information you supply in your tender response may be used, in whole or in part, to populate the Contract. As such, please make clear and unambiguous statements about the commitments you are making.

The National Archives reserves the right not to appoint and to achieve the outcomes of the project through other methods.