

The National Archives Invitation to Tender

Title: Retention and Transfer Toolkit for Charities and Voluntary Organisations

Deadline for receipt of tender proposals: 9am 23 October 2018

Return to: Meg Venter, megan.venter@nationalarchives.gov.uk

1. INTRODUCTION

This invitation to tender specifies the requirements for the production of a model retention schedule for use within charity archive and records management services. Retention schedules are an important element in the management of records, defining the length of time records should be retained in line with statutory and organisational requirements. They also help support archive services, ensuring that records of enduring value are identified, transferred and preserved into the future.

Despite the importance of retention scheduling for effective and efficient recordkeeping, it has been noted that many charitable organisations do not have these in place, and lack accurate and relevant sources of advice regarding retention. This can have an adverse effect on archive services, resulting in inadequate transfer of records for permanent preservation as well as regulatory risk.

The following further details are outlined in this document:

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

2. BACKGROUND

2.1 Organisation

The National Archives 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.

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.

We are also responsible for leadership of the archives sector in England and our approach is framed by the strategic vision for archives *Archives Unlocked*. The National Archives' business plan, *Archives Inspire*, and the strategic vision identifies the archive sector as one of four key audiences, our sector leadership role is viewed as an important priority. Our approach to the leadership role is a collaborative one, supporting partnership working to encourage a sustainable and innovative archives sector.

2.2 Retention and Transfer Toolkit for Charities and Third Sector Organisations

Recordkeeping is a vital, if overlooked, part of managing and working within a voluntary organisation. Crucial for demonstrating impact, proving good governance and effective brand management, as well as complying with the wide range of regulations that apply to charities in England and Wales, recordkeeping should be recognised as a core function of effective management of charitable organisations. Despite this, there is a lack of knowledge and confidence about effective recordkeeping within this sector, and only a small number of appropriate resources. This has a subsequent impact on charity archive services, who often

struggle to identify and transfer records requiring long term preservation and to implement records management processes (including retention schedules).

As part of our ongoing work to support the development of charity archives, The National Archives seeks to commission a piece of work to produce a model records retention toolkit for use within charity and voluntary organisations. This will support these organisations in identifying records of enduring historic value whilst also complying with statutory and regulatory requirements, and lead to improvements within both records and archives management within the organisations themselves.

As defined by JISC:

‘A retention schedule is a list of records for which pre-determined destruction dates have been established. One of the principle aims of the records survey is to establish those categories of records for which there is a known disposal date.

The main objective of the retention schedule is to define how long records need to be retained in order to satisfy all operational, legal and regulatory purposes and to help co-ordinate their resulting maintenance, disposal or preservation.’¹

This project will consider and identify the wide landscape of operational, statutory and regulatory requirements affecting the voluntary sector, and result in a generic records retention schedule for use within charities. The schedule will be based on a breakdown of the functions and activities performed by the majority of these organisations (a business classification scheme),² allowing for its use across this broad sector. Additionally, this toolkit will also help to identify records of enduring value requiring permanent preservation, and will suggest workflows to improve transfer of these records to archive services, including case studies.

The project will:

- Liaise with key stakeholders across the archives and academic sectors (notably, the Charity Archives and Records Managers Group (CHARM) and the British Academy research project *Digitising the Mixed Economy*)
- Produce a business classification scheme for use across the voluntary sector
- Produce a generic retention schedule for charities and third sector organisations
- Inform The National Archives’ understanding of sector need and opportunities for The National Archives leadership and/or support

3 OBJECTIVES AND DELIVERABLES

3.1 Objectives

The project will achieve this through these processes:

- Identify key services and networks ready to share approaches to records retention and transfer within voluntary organisations for use as a critical friend
- Evaluate current resources regarding records retention for charities

¹ JISC retention management guide <https://www.jisc.ac.uk/guides/records-management/retention-management>

² A business classification scheme is a conceptual representation of an organisation’s business. It describes an organisation’s business functions and activities, and the relationships between them. Functions are the largest units of business activity. They are the major responsibilities that are managed by an organisation to fulfil its mission or mandate, and its responsibilities to its stakeholders. Activities are the tasks performed to accomplish each function

- Undertake desk research into the legislative and statutory framework for charities including the Charities Acts, Statement Of Recommended Practice, Data Protection and guidance from the Charity Commission
- Produce a business classification scheme and associated retention schedule
- Identify workflows to assist in the transfer of records to archives, including the production of case studies.

The contractors will work with The National Archives to select the participating services and development networks.

3.2 Deliverables

- Model records retention toolkit and business classification scheme for charities and voluntary sector organisation
- An internal report presenting the results of current practice regarding records management and retention within charities and the project's key learning points
- A plan for further work to improve the transfer of records of enduring value from charitable organisations to archive services (either in-house or third-party deposit)
- A series of three – five case studies

4 CONTRACT MANAGEMENT

The contract will be managed by Meg Venter, Sector Development Manager, Archives Sector Development at The National Archives.

5 WORKPLAN/WORK PACKAGES AND MILESTONES

Project initiation	20 November 2018
Input to selection of networks and services	November – December 2018
Desk research	November 2018 – February 2019
Production of development plan	February – April 2019
Production of business classification scheme and records retention schedule	April – May 2019
Project report and case studies completed	May 2019

6 BUDGET

£10,000 including VAT and travel and expenses.

7 PROCESS FOR SUBMITTING PROPOSALS

7.1 Procurement timetable

Invitation to tender sent out	7 September 2018
Deadline for questions of clarification	21 September 2018
Deadline for proposals	23 October 2018
Interviews	14/15 November 2018
Appointment and contract award	20 November 2018

All questions of clarification should be made in writing. Any questions received that would be relevant to more than one supplier, and are not commercially confidential, will be shared with all potential suppliers.

7.2 Proposal content

The proposals should outline:

- Understanding of the project and deliverables
- Experienced suited to the project subject and proposed methodology
- Names and experience of individuals assigned to the project, to clarify their involvement with each phase or unit of the work
- Costs – including breakdown for costs of each phase or unit of work, day rate of each team member and other costs or expenses

7.3 Proposal submission

Please submit proposals by email to megan.venter@nationalarchives.gov.uk

Proposals must be submitted by 9am on 23 October 2018.

7.4 Evaluation of proposals

We will evaluate proposals using these criteria:

CRITERIA	WEIGHTING
Extent to which proposal demonstrates an understanding of the brief	20
Knowledge and experience relevant to the project, including understanding of key legislation and issues affecting charity and voluntary organisations	35
Quality of methodology and experience in relation to desk-based research and stakeholder engagement	20
Proposed team composition and management	15
Cost	10

8 STANDARD TERMS AND CONDITIONS

The supplier will be required to sign a contract agreeing to The National Archives standard terms and conditions of contract for services. We draw your attention in particular to Section A7 of these terms and conditions, covering Conflicts of Interest.

<http://www.nationalarchives.gov.uk/documents/procurement-terms-conditions-services.pdf>

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

9 FURTHER INFORMATION

For an informal discussion about the work, please contact:

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