

# SPECIFICATION: National Survey of Third Sector Organisations

## PURPOSE

- 2 The Office for the Third Sector, invites tenders for undertaking a new National Survey of Third Sector Organisations (NSTSO). This is a major new survey which will measure a new local performance indicator of the environment for a thriving third sector to help drive delivery by local partners. It will also provide an evidence base to help us understand outcomes at a local level, and what can be done to support the third sector at all levels of government, and to promote effective partnership working at the local level.

## BACKGROUND

- 3 The Office of the Third Sector in Cabinet Office leads work across government to support the environment for a thriving third sector (voluntary and community groups, social enterprises, charities, cooperatives and mutuals), enabling the sector to campaign for change, deliver public services, promote social enterprise and strengthen communities.
- 4 A key plank in OTS's strategy to deliver improved outcomes for the sector is the provision of timely information to help drive the promotion of the third sector through Local Area Agreements (LAAs), and through the associated Local Government Performance Framework. An indicator on the environment for a thriving third sector is now included in the 198 indicators which will monitor outcomes at a local level – National Indicator 7 (NI 7). Targets based on this indicator will be incorporated in LAAs for many local areas. The indicator itself will be measured and monitored in all upper tier LA areas, through this national survey. There are several documents which provide useful briefing, for example:
  - The Office of the Third Sector have provided a briefing note for LSPs which shows how NI 7 will be operating in practice<sup>1</sup>. This is available at: [http://www.cabinetoffice.gov.uk/upload/assets/www.cabinetoffice.gov.uk/third\\_sector/ni7\\_briefing\\_note\\_final.pdf](http://www.cabinetoffice.gov.uk/upload/assets/www.cabinetoffice.gov.uk/third_sector/ni7_briefing_note_final.pdf)
  - Communities and Local Government (CLG) have also provided a note which outlines how this performance framework is likely to operate in relation to the Third Sector. 'The Third Sector: the crucial role of the local government performance framework' December 2007. <http://www.communities.gov.uk/documents/localgovernment/pdf/621274>
  - In February 2008, CLG published: National Indicators for Local Authorities and Local Authority Partnerships: Update on publication of the final definitions for the national indicator set. This includes the agreed definition and a summary of proposals for measurement of NI 7: <http://www.communities.gov.uk/publications/localgovernment/nationalindicatorupdate>

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<sup>1</sup> This note will be updated in early May 2008.

- 5 OTS, working closely with Communities and Local Government, commissioned a consortium in August 2007<sup>2</sup>, to explore options and develop a robust survey method to measure NI 7 and provide intelligence to support local partnerships and policy in this area. A pilot survey was conducted in late 2007, with a postal questionnaire sent to 1,500 organisations nationally.
- 6 The Research Paper describing the development work and the pilot study, and pilot questionnaires as used in unitary and county council areas, are available at (LINK). Tenderers are also provided with a questionnaire annotated with the frequencies of pilot survey responses. These findings will support the development of the main survey questionnaire and analysis plans .
- 7 It is suggested that tenderers allocate sufficient time to digest and consider the report on the development work and pilot as it explains in some detail the proposed design of the national survey and its expected response outcomes. It also describes the rationale behind the requirements for the survey, and explains why certain options are not being taken forward at this stage, or why some alternative survey methods are not being pursued.
- 8 The main features of the survey, based on the findings and recommendations of the development work and pilot, are:
  - a) The indicator will be measured by a perception based question in a postal survey sent to leaders of local Third Sector organisations.
  - b) Baseline measurement will take place during Autumn 2008 and a follow-up in Autumn 2010. There will be headline data available in January 2009, at the latest, and fuller reporting from February 2009 onward.
  - c) Our design is structured to achieve robust results (+/-3% confidence intervals wherever possible, based on expected population sizes and expected response rates) in each lead authority area regardless of its size. For 80 authorities, we anticipate this will require a census mailing to all TSOs in the area. Where a confidence interval of +/-3% is achievable without a census mailing, a random sample will be drawn.
  - d) The survey will cover each of the 149 upper tier local authority districts in England (we exclude the Isles of Scilly).
  - e) The survey will be mailed to approximately 97,000 organisations nationally, with the expectation of around 55,000 completed returns. The pilot suggests that a response rate of 55% is achievable and we would seek to achieve higher response rates if possible.
  - f) The survey will be based on a questionnaire of around 35 questions on issues such as TSOs' recent levels of success in meeting their objectives and factors which help or hinder this success, the influence of local statutory bodies in their success, their ability to influence local decisions, their views on local funding and/or other local income sources, and their confidence going forward. The survey also includes questions to help categorise respondent organisations, and takes about 15 minutes to complete.
  - g) Data needs to be provided at the upper tier local authority spatial level. Reports on the indicator may be accompanied by contextual data from the survey and other sources as diagnostic evidence to facilitate Government Offices for the Regions, local bodies, and the sector in identifying actions

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<sup>2</sup> This consortium consisted of BMG Research, INLOGOV (Birmingham University), GuideStarUK, NCVO, and independent consultants.

which can improve the local environment for a thriving third sector and promote partnership working.

- h) The sample should be constructed using nationally available registers and comprehensive lists of charities, rather than local lists of third sector organisations. The Research Paper on the development work presents the recommended strategy for compiling such national lists of regulated and incorporated bodies, using the Register of Charities, and lists based on the following legal forms: Community Interest Companies, Companies Limited by Guarantee, and Industrial and Provident Societies, with agreed exclusions. We have been advised that the challenges of drawing samples of the unregistered and unincorporated part of the sector cannot be addressed in time for the baseline survey, as the survey must be based on lists which allow for comparisons between areas and over time. Work on developing strategies to improve the quality and coverage of local and/or national lists of this part of the sector is, however, being undertaken with stakeholders, and may feed into wave two of the fieldwork, and subsequent waves.
  - i) The sampling and fieldwork strategy needs to reflect current circumstances in the sector and our ability to conduct robust surveys of different parts of the sector, but in the future it may need to take account of changes over the period of the survey. This might include potential developments in the quality of locally held lists, national lists of social enterprises, or of small TSOs and the associated ability to draw robust samples of small community organisations. It will also include changes to areas as a result of acquiring unitary status in 2009, to enable a measure to be provided at this spatial scale.
  - j) The proposed NI 7 indicator is to be based on the question: "...how do the local statutory bodies in your local area influence your organisation's success?" (this is Q22 in the pilot questionnaire).
  - k) The indicator will be scored according to the proportion of third sector organisations who answer this question as 'positive' or 'very positive' on a five point scale.
- 9 OTS and CLG have agreed the principal recommendations arising from the development work to underpin the survey and indicator, but some further questionnaire development is required. The pilot showed that overall the pilot questionnaire was clear but we require some questionnaire/question refinement, and small-scale testing. For example, we wish to broaden the relevance, and verify understanding, of the indicator question (Q22). This will ensure that the response categories are appropriate and provide a better understanding of the impact of possible order effects of the current positioning of this and other questions.
- 10 There is also a need to a) keep up with developments in national and local listings in general (such as improvements in local lists covering the informal part of the sector or of social enterprises); and b) assess and advise whether it is practicable and consistent to widen the sample coverage within the requirements of the survey and the local government performance framework.
- 11 **This ITT invites tenders for the provision of a sampling frame, and a survey of local third sector organisations to be conducted in Autumn 2008 (wave one), and two years subsequently in Autumn 2010 (wave two). It includes analysis and reporting and ensuring that the project utilises the analytical opportunities inherent in this process.**

- 12 This project will be contracted by the Office for the Third Sector, Cabinet Office and will be managed by project managers in the Third Sector Research Team in CLG. The steering group will be chaired by OTS.
- 13 Tenderers are encouraged to be creative in response to the specification and identify enhancements to our recommended approach, and opportunities arising from it e.g. in enhancing the evidence base through analysis, reporting and dissemination. Where tenderers would like to propose options which advance thinking on the work conducted for the feasibility/development study, this will be welcomed.
- 14 **This project is being tendered as two lots:**
  - Lot A – provision of a national sampling frame of third sector organisations**
  - Lot B – delivery of sampling, fieldwork, analysis and reporting**
- 15 Tenderers are invited to tender for either, or both, of these components.
- 16 The contract has been divided in this manner so as not to discourage tenders from organisations that only wish to tender for one of the components.
- 17 Each lot will be assessed separately, and if the lots are let to two different organisations then both organisations will be required to work collaboratively – particularly where there are complementarities between provision of the sampling frame and hard data, and sampling, analysis and reporting.
- 18 We require tenders which provide a firm price for each lot for wave one and wave two. A contract will be awarded for both waves.

## **OBJECTIVES**

- 19 This survey has the following principal aims:
  - To establish robust and timely measures of the environment for a thriving third sector, at upper tier local authority district level. This will allow comparison over time and between places.
  - To generate an evidence base about the third sector at a local level to help inform local priorities and performance management.
  - To provide data which can be analysed locally and nationally to give insight into the performance, dynamics and needs of the sector at a national and local level.
- 20 The contracts will deliver the following under Lots A and B:

## **Lot A – Sampling Frame.**

### **Purpose of Lot A**

21 The main purpose of this lot is the provision of a sampling frame for the survey which reflects decisions by OTS on the coverage of the survey and recommendations from the development work. During the development and piloting stage consideration was given to various options for acquiring a sampling frame which was both robust and representative of the third sector. It has been recommended by the Consortium – and accepted by OTS - that the sample should be drawn from national registers from which a random probability sample can be drawn. This top down sample is summarised below. The coverage issues are explained in more detail in Chapters 3 and 4 of the Research Paper, and approaches to compiling the sampling frame using national registers are discussed in chapter 4.

### **Coverage of survey**

22 The sampling frame for the survey will be based on the following building blocks (some of which are overlapping):

- all registered charities
- all companies limited by guarantee (CLGs) (without share capital) that serve social, cultural and environmental objectives (public benefit)
- all Industrial and Provident Societies (IPs) that serve social, cultural and environmental objectives (public benefit)
- all housing associations
- all systematically identifiable social enterprises including all community interest companies (CICs).

OTS has decided that the following types of organisation will be excluded from the sampling frame:

- Moribund/inactive organisations that are present on national registers e.g. those that have not filed a return to the Charity Commission for 3 years or more;
- Non-departmental public bodies (NDPBs), some of which are registered charities; and
- Registered charities which are small grant-making trusts (with annual incomes and expenditures of less than £5,000) that are administered by accountants or solicitors

The following types of organisation will feature in the sampling frame where they are regulated or incorporated TSOs (in the legal forms above). However, being such an establishment does not qualify them for inclusion in the frame *per se* and we will not seek to purposively include them in the sampling frame.

- Higher education colleges
- Independent and other non-state schools
- Political parties and trade unions, though these are in any case not likely to be in the sample frame
- Branches and subsidiaries (ie these are included in the survey only where they are separately incorporated).

- 23 National registers of such organisations are available from regulatory bodies. It will be necessary for the contractor to ensure that such a sampling frame is quality assured, de-duplicated, and is as up-to-date and comprehensive as possible.

**Detailed requirements and outputs for Lot A**

- 24 We require a sampling frame of TSOs which is comprehensive, up to date and complete, from which a robust sample of 97,000 organisations may be drawn to achieve maximum precision at a local authority level.
- 25 We require the most up-to-date information possible for the sampling frame and also for analysis. Tenderers should bear in mind the timescales for sampling, weighting, reporting and archiving data for secondary analysis, and the inherent lags between collection of survey data and the availability of contemporaneous hard data from national sources such as returns filed with the Charity Commission. Tenderers should ideally provide updates of any such hard data to best enhance the analytical value of the survey data. Please state methods and frequency of updating the sample frame, with reference to the timing of these survey stages in Lot B (sampling, weighting, and analysis and archiving)
- 26 Area identifiers – including lower tier local authority level - are required to enable the sample to be drawn at local authority level. Other ‘hard data’ about the sample population will be required for sample stratification and to enhance data analysis. National listings also contain some information which would allow more sophisticated sampling strategies i.e. the use of filters, area identifiers and stratification.
- 27 Please state how this database will be presented, updated and in what format. Please identify the fields which will be supplied and describe their content and utility.
- 28 Please state what stratifiers/filters will be provided and what hard data will be provided to enhance data analysis.
- 29 The sampling frame should allow the best possible systematic coverage of the range of social enterprises.
- 30 The sampling frame and hard data will be required for wave one and it will be necessary to update these in a consistent manner for wave two.
- 31 Tenderers are invited to present options for providing and presenting hard data from the sample frame and other sources which, along with data from the questionnaire, can support the interpretation and analysis of the NI 7 indicator. for example by providing recent historical and contextual data on the sector/environment. Some potential uses of hard data are outlined in Chapter 8 of the Research Paper.

**Intellectual property Lot A**

- 32 The completed national sampling frame of third sector organisations will be made available to CLG/OTS for use by the department and/or their contractors for the purposes of supporting the National Survey of Third Sector Organisations for the duration of the contract. We will however keep it confidential in order to prevent unintended disclosure.

- 33 Some local areas may conduct supplementary surveys of their 'below the radar' population of TSOs using their local lists (as this part of the sector is not covered by the NSTSO – see para 93 below and Annex C). We require that the national sampling frame be made available to third parties, subject to data safeguards, to support their compilation of a sampling frame of 'below the radar' organisations for their areas. This is to enable de-duplication of local lists against the national sample frame, and so ensure no organisation eligible for the NSTSO is inadvertently sampled for a local supplementary survey.
- 34 As we work towards a wider coverage of the third sector, the contractor is expected to recommend changes to the national register, and advise on the suitability for inclusion of national or local listings of parts of the sector not covered already by the national frame. This may consolidate coverage of some of the organisations identified in the Local Area Profiles Toolkit (described in Chapter 4 of the Research Paper). The contractor is expected to accommodate changes/additions to the national frame of this kind over time. The national sampling frame may also be shared with third parties undertaking work to enhance it. Again this would be subject to data safeguards.
- 35 We will share microdata from the sample with analysts in CLG, OTS and Audit Commission to support work around the national indicator.
- 36 The national sampling frame, along with hard data, will also be made available for secondary analysis through the ESRC data archive, with data from the questionnaire attached for those sampled cases. Names of TSOs and contact details will not be required and the contractor may need to take disclosure control measures. A full data set (without names and contact details) may also be made available for secondary analysts under suitable data access agreements – without full disclosure control.
- 37 We will share hard data in aggregate form (i.e. local authority district/regional) for the use of Government Regional Office and Local Strategic Partnership staff, and to be published in local and national research reports associated with the survey.

## **Lot B – Fieldwork analysis and reporting**

- 38 This element provides the main survey, analysis and reporting. This lot includes:
- 39 Delivering a final questionnaire, based on the questionnaire developed for the pilot survey with some further development and small-scale testing.
- 40 A substantial amount of development work has already been undertaken, leading to the pilot questionnaires. This work is described in Chapter 7 of the Research Paper (The Questionnaire) and Chapter 2 (The Indicator).
- 41 Topic areas covered by the pilot survey included:
- Section 1: 'About your organisation' including questions to identify activity – includes questions on success, confidence and sufficiency of resources and area.
  - Section 2: 'Local funding/income'
  - Section 3: 'National funding/income'
  - Section 4: 'Local decision making and partnership'
  - Section 5: 'More about your organisation' – including number of employees/volunteers and social enterprise classification questions.
- 42 A limited amount of further development work and liaison with the client is required in order to refine elements of the questionnaire design and delivery of the survey. This is expected to involve some cognitive work and possibly small scale testing. The contractor is expected to advise on refinements to the questionnaire and to conduct testing as necessary.
- a) Changes are planned to the indicator question (this work is described in chapter 2 of the Research Paper). We anticipate that improvements to other questions and their response categories will also be necessary. We expect to refine around 5 questions in this way. There may also be some new questions added (up to 5), on themes consistent with the objectives of the survey, while a similar number would be deleted. We also require some development and refinement of the questions and general approach used to help identify social enterprises (see Chapters 4 and 7 of the Research Paper.)
  - b) We also want to gain understanding of possible order effects and their implications, particularly in relation to the indicator question for NI 7 (see chapter 2).
  - c) Contractors should also enhance the presentation of the questionnaire and covering documents to encourage response, and improve the ease and quality of completion of the survey.
- 43 There is an option to include an open question which would permit direct feedback of verbatim responses by TSOs to Government Offices and Local Strategic Partnerships on what might be effective in improving the local environment for the third sector. Reports would be simple listings of the actual response for discussion at the local partnership level, but these listings might be placed under broad headings according to the type of TSO responding. There is also an option for a question like this one, or a related open question, to be

coded to allow quantitative analysis. Tenderers are asked to show the cost for handling both of these options. Verbatim responses from the pilot will be made available to the successful tenderer.

- 44 Finalising the sample design and drawing the sample. The development work has indicated the approximate sample sizes required in each area for a robust measure to monitor the indicator over time such that the confidence interval around the estimate for most areas would be +/- 3 per cent. The calculations were based on estimated population sizes which will be updated once the sampling frame has been comprehensively compiled, and adjusted for specific exclusions and inclusions in coverage. The broad design has been agreed (repeat cross-sectional survey with a census/probability sample in each of 149 areas). But the contractor will need to set the exact sample size and sampling fractions, with suitable stratification, and draw the sample and attach relevant contact and analytical information from the sampling frame.
- 45 Delivery of the survey fieldwork in Autumn 2008 (and again in Autumn 2010) incorporating effective management of response. It is important for LAs to achieve as good a response as possible to minimise bias, and to achieve a larger sample. This will be helpful to LAs which will wish to show that any improvement in the indicator over time is statistically significant. Conversely poor response (and critically, response below the 55% expected level) will make targets for measurable improvement on the indicator more stretching to achieve.
- 46 Tenderers are invited to demonstrate how they will manage response, improve response rates, and how they might allocate resources to achieve satisfactory levels of response across all areas, including the smallest local authority districts where achieved sample size has the greatest implications for whether a measurable increase in the indicator can be attained.
- 47 The field management system should record how many and what kind of follow-up took place, and should be used to analyse the outcomes of these stages. There is a detailed summary of response to various stages of the pilot survey in Chapter 5 of the Research Paper, along with some discussion of recommended approaches to following up non-response. Recommendations for the data collection method are given in Chapter 6.
- 48 Tenderers might suggest a promotional strategy they will carry out or produce promotional material to enhance response to the survey.
- 49 Processing of the questionnaires (see below).
- 50 Weighting of the data. In addition, tenderers are invited to discuss opportunities for assessment and correction for non-response bias.

**Reporting at national and local level:**

- 51 Analysis of findings, and provision of headline reporting in January 2009. This will include an assessment of how areas compare with one another and, based on the wave 1 findings (including actual population sizes and response rates) what improvement the LA is expected to need to show in the wave 2 of the survey in 2010 as a statistically significant change. After wave 2, these reports will also show whether areas have improved over time. Tenderers are invited to show how they will balance the scope for incorporating contextual data in this report with the need to meet the timetable for the headline report.

- 52 Further analysis of the data to understand the local and national factors driving a thriving third sector. We are interested in ideas for local and national reports. Tenderers are invited to describe the analytical questions they intend to answer, types of reports, and analytical methods they propose to use. There is a need for timely reports, in particular to inform local statutory bodies of what might be done to improve performance on this indicator, but there is also the potential for complex analysis. Reporting is covered in more detail later in this specification.
- 53 Archiving the data set at the ESRC data archive, and dealing with queries associated with this.
- 54 Repeating the process in 2010.

### **Supporting and conducting small-scale surveys of under the radar TSOs**

- 55 As part of Lot B, we would like the tenderers to work with local authorities to conduct three local surveys of the 'Under the Radar' part of the sector in parallel with the main survey, as this population is not currently covered by the main survey. We seek to conduct this element in a way which is compatible with the main national survey, using similar methodology and questions, and with comparable reports. This requirement is described in more detail in Annex C. We are therefore asking for costings for conducting these surveys, and for tenderers to propose a suitable timescale so that the primary objectives of delivery of the main survey and NI 7 headline reports in January 2008 is safeguarded.

## OUTPUTS/DELIVERABLES

- 56 The overall requirements for the Lot B for each wave of the survey:
- a. Development and testing of the main survey questionnaire (with little change between waves)
  - b. Revised questionnaires for single and two-tier local authorities.
  - c. A sample and address/contact list (based on output from Lot A)
  - d. Mail out of questionnaire to at least 96,700 organisations with an estimated response rate of at least 55% to achieve at least 53,200 responses. The sample distribution will be agreed with OTS/CLG in line with the recommendations of the development work (see Chapter 5, Research Paper).
  - e. Consistently high response rates across all areas covered by the survey.
  - f. Completed questionnaires from approximately 53,200 organisations and a response rate of 55%
  - g. Clean, coded data set for analysis, with non-response weighting (including possible bias adjustments)
  - h. Headline local reports of the indicator
  - i. Local reports
  - j. National thematic research reports
  - k. National analytical report
  - l. SPSS dataset
  - m. Technical report, describing fieldwork, sampling, weighting, analysis and data collection at the end each wave .
  - n. Comprehensive data documentation, to allow the datasets to be used by the client and to be deposited in the ESRC data archive.
  - o. Conducting three local surveys of 'below the radar' organisations
- 57 More detail on these requirements is provided below.

## TIMETABLE

- 58 The date for submission of tender bids for both lots is **9 June 2008 at noon**. It is anticipated that tender panel interviews will be held on **16 and 17 June 2008**
- 59 The contractors should be available to start work immediately on 2 July 2008. It is essential that fieldwork starts at the beginning of September 2008 and is completed by the end of November 2008. It is critical that headline findings are provided by the end of January 2009, for each local authority area.

60 This indicative timetable sets out the proposed key stages and deliverables for Wave One and Wave Two:

Contract starts	2 July 2008
Project initiation	First week July 2008
Delivery of sampling frame	1 August 2008
Questionnaire development and testing	July 2008 to mid August 2008
Fieldwork starts	1 September 2008 to end November 2008
Data processing and QA	September 2008 to January 2009
Provision of headline indicator findings for 149 areas	End January 2009
Provision of local reports	End February 2009
Delivery of final, quality assured, dataset	End February 2009
Delivery of final dataset, technical report and data documentation	End April 2009
Delivery of three national thematic reports	End July; end August; end Sept 2009
National analytical report	End September 2009
Pilot surveys of unregistered organisations	Spring/Summer 2009 – as early as delivery of NI7 will permit
Fieldwork Wave II starts	September 2010 to end November 2010
Data processing and QA	September 2010 to January 2011
Provision of headline findings	End January 2011
Provision of local reports	February 2011
Delivery of final dataset, technical report and data documentation	April 2011
National analytical reports including longitudinal analysis	As 2009 timetable

## REPORTING

### Reporting on processes and development

61 In terms of reporting, we will require the contractor to produce:

- Weekly progress reports – for project management purposes of the development, fieldwork and reporting stages.
- Report and presentation on question testing and questionnaire development.

### Reporting on findings, and publication of datasets

- 62 The following is an outline of the reports required. Tenderers are asked to advise on the potential content, nature and format of reports on findings, and more detailed discussions will be held with the contractor and key stakeholders on the headline and local reports, and the thematic and analytical reports from Autumn 2008.
- 63 Headline indicator report providing baseline data for NI 7, fully quality assured by 26 January 2009. These reports must include the measure of NI 7 and also quality indicators (such as population size, response rates, significance/confidence intervals) to enable comparison between areas, and updates on the increase that would be required on the basis of the survey so far for areas to show a statistically significant improvement. This could be an increase in the indicator level or in the response rate that is required. It should be consistent with the approach outlined in Annex A of the Briefing for Local Strategic Partnerships. Guidance notes will be required to aid interpretation. The reports should be extended to include other useful survey data (in particular, summary measures of the quality of the funding relationship and the quality of partnerships/consultation, see Chapter 2, Annex B). and key contextual data but only insofar as the data are quality assured and simple to digest in a headline report.
- 64 Data file of NI7, including confidence intervals and TSO population estimates on 26 January, suitable format for upload into CLG data interchange hub<sup>3</sup>: See: <http://www.communities.gov.uk/publications/localgovernment/datainterchangehub>
- 65 A local report on each of the 149 upper tier local authorities for end February 2009. These 149 reports should allow a more detailed understanding of differences within the local area in responses to the indicator question, and to show how local TSOs responded to key survey questions. They might also summarise contextual data from other sources. The reports should also allow comparison of the local area with norms in other areas. They are expected to be largely tabular with commentary to show users how to interpret the information and make comparisons between areas or between groups in their own area. Tenderers are invited to propose the format of these reports and how their impact may be maximised by the most effective analysis and presentation of data and how other local data sources and hard data available from data providers may enhance their impact. A summary should also be provided which synthesises the findings in the 149 areas, comparing key survey questions/key contextual data, for consumption at the national level. Additional data at local authority level on around 15 variables will also be required available in a format suitable for uploading on the Data Interchange Hub at the same time as delivery of these local reports..

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<sup>3</sup> CLG are developing a Data Interchange Hub which will be operating according to agreed standards for XML schema and constrained vocabularies. Other Hubs will be interchanging with the DIH using these standards. The NSTO data should be provided so that it can interchange with DIH using the agreed standards.

It is expected that all data, including metadata, will need to comply with these agreed standards and that a required output from this contract is the transfer of data from the collection mechanism to the Data Interchange Hub is made according to these standards using xml. This applies to all indicators and all aggregations and potential disaggregations. Initially data will be transferred to the Data Interchange hub at the aggregated indicator level.

- 66 As referred to in the overview to Lot B, we would like the option of direct feedback reports of verbatim responses by TSOs to Government Offices and Local Strategic Partnerships by end February 2009.
- 67 Data file and metadata to support users who will be able to access reports on their areas on NI 7 (and possibly other data from the questionnaire) using the data presentation and mapping tools available on FTI shortly after this date. See: <http://www.fti.communities.gov.uk/fti/Welcome.aspx>
- 68 Fully quality assured dataset end February 2009.
- 69 A technical report by end April 2009
- 70 National thematic reports <sup>4</sup>: the tenderer is asked to advise on the potential content, nature and format of such reports . Some suggestions for analytical themes which may be addressed by these reports are given below. They are not meant to be exhaustive, but give some ideas of current areas of interest:
- Understanding the key findings of the survey in relation to the composition and distribution of the sector at the local level.
  - The relative performance of individual local authorities across a range of factors which may contribute to the environment for a thriving third sector, based on the survey measures and possibly also from other sources. What patterns/conditions in local areas might explain why some areas do well on NI 7 while others perform badly?
  - Identifying the drivers of an environment for a thriving third sector eg levels of internal and external resources, aspects of the funding relationship and aspects of partnerships and consultation.
  - Understanding the variation in conditions and perceptions among different types of organisation (eg according to their funding status, their size, the service area; their legal type or the way they operate eg social enterprises). Are local areas serving all types of TSO equally well?

These reports should be written in a manner which is accessible to practitioners, third sector stakeholders, policy and analysts.

- 71 A national analytical report utilising more complex analytical techniques to explore the rich and robust data collected by the survey. This report should help steer policy and support to the third sector at a national and local level. Techniques that might be applied include regression, factor analysis, and cluster analysis. Analysis may make use of hard data available through Lot A and other geographic data sources..
- Tenderers are invited to provide costed options for analysis of the survey data demonstrating how the wealth of data may be used, in conjunction with other geographic and organisational level data sources to provide national intelligence on the drivers of a thriving third sector with implications for local and national partnerships and policy, typologies of areas and organisations.
  - One of the principal purposes is to enable performance to be analysed in a way which takes into account expected performance, value added, and benchmarking with similar areas.

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<sup>4</sup> See for example the Citizenship Survey 2005 thematic reports for probable range and scope

- 72 All report outputs should be in the house style of the Office of the Third Sector, Cabinet Office.
- 73 Reporting in 2011 will follow the same pattern and timescales as 2009 with the reporting fully making use of the longitudinal nature of the dataset, and reflecting discussions with OTS on the content of the thematic reports.
- 74 The client will provide comments on draft versions of the research reports, which should be integrated into the final versions of these documents.

## **ELECTRONIC VERSION OF THE DATASET**

- 75 The contractor will be required to provide cleaned, clearly labelled and user-friendly survey datasets in SPSS format. Datasets should be supported by documentation which allows appropriate analysis by third parties and enables deposit in the UK Data Archive.
- 76 The datasets, which will be anonymised, will include weights, agreed derived variables and other geo-demographic variables. Where necessary, the contractor should undertake disclosure control steps for any data to be made publicly available, to ensure individual questionnaire responses cannot be traced back to named organisations. (A fuller anonymised dataset may be made available under data access agreement without such a level of disclosure control.)
- 77 The weights should enable the production of nationally representative estimates for the general population of third sector organisations
- 78 It is essential that the contractor liaises closely with the client as to the exact format of data files. To assist with this, tenderers are invited to consider the use of a test dataset.
- 79 Respondents should be asked if they are willing to be re-contacted for future research by contractors working on behalf of OTS or CLG. Tenderers are asked to state how the data relating to these respondents will be made available. Tenderers are asked to consider how this might affect any assurances of confidentiality given to respondents.

## **DATA PROCESSING**

- 80 The dataset should be quality assured. Tenderers should specify what sort of range and logic checks will be carried out on the dataset. They should also specify safeguards against data loss, and risk management procedures.
- 81 Contractors would be required to observe the following:
- 82 Each case (i.e. respondent) should have a unique identifier. The dataset should be in sort order on this identifier.
- 83 The contractor will be required to calculate weights for the dataset.. The final weighting strategy should be developed by the contractor and agreed with the client and project group, bearing in mind the potential need for comparability when this survey is repeated.

- 84 Where possible, there should be verification of data for consistency and checking the plausibility of responses to open questions on the numbers of employees and volunteers.
- 85 Coding frames for any open-ended questions should be developed in collaboration with Third Sector Research. In these, residual categories (i.e. "other") should not exceed ten per cent of the total in the listings on which schedules are based. The treatment of all variables should be agreed with client.
- 86 Where questions are asked that are 'multi-coded' i.e. where the respondent can select more than one answer for a question, the dataset needs to present this in terms of variables identifying whether or not the respondent gave each particular option as their answer. The format should be suitable for use with the SPSS multi-response command.
- 87 Tenderers should provide details of the weighting approach they feel is most appropriate for this survey.

### **Questionnaire**

- 88 The questionnaire will be based on the pilot questionnaires. The questionnaire and the key findings from the survey are described in the full research report of the development and feasibility study in Annex C
- 89 *Arrangements for re-contacting respondents.* The questionnaire should ask whether the respondent is happy to be contacted for future research by the client, and contact details confirmed. In the pilot survey, 46% of respondents agreed to such a follow up.
- 90 *Copyright and Intellectual Property Rights.* Tenderers are advised to refer to the Department's Intellectual Property Conditions..
- 91 The final questionnaire will be signed off by staff in CLG/OTS before fieldwork commences.

### **Enquiries from the public**

- 92 Arrangements should be made so that survey respondent enquiries are directed to the contractor. The contractor may wish to seek advice from the client on specific issues.

### **Local surveys of 'under the radar' organisations**

- 93 We require contractors for Lots A and B to use the instruments and knowledge gained from the NSTSO to work with local partnerships to support the development of surveys of the informal, or Under the Radar, part of the sector which is not currently covered by this survey (see para 33).
- 94 The main requirement in Lot B is to conduct such surveys in three local authority areas. This is not seen as a substantial sub project, rather it is an extension of the main survey learning and protocols, and this should be reflected in the price. The costs for this element should be provided separately, described below. The work is detailed in the Annex to this specification.

- 95 OTS will identify these strategically important areas, following consultation with Government Offices for the Regions, local stakeholders, and key umbrella bodies.
- 96 The objective of these surveys is to:
- a) act as a pilot to inform development of future waves of this survey, should it widen its coverage in future, and
  - b) enable other local areas, with an interest in surveying their under the radar population 2008/09, to conduct surveys with a proven methodology.
  - c) indicate differences and similarities between this part of the sector and the registered and incorporated part, which is the basis for measurement of NI 7.
- 97 As such, the survey in these areas must be comparable with the main national survey, using similar methodology and questions.
- 98 We require costings for conducting these surveys in 3 areas and the work to support the development of surveys of this part of the sector.
- 99 This will be conducted as a separate exercise to the main survey, and we seek your proposals on the timing of the surveys of the Under the Radar population to a) enable comparisons with the main survey that are as contemporaneous as possible, and b) avoid conflicts over resources either for the contractor, or for local agencies in conducting both the main survey and these under the radar surveys, in order to ensure delivery of the main survey and NI 7 headline reports in January 2008.
- 100 Chapter 4 of the Research Paper provides an indication of the research issues which the contractor will need to address in using local lists for the purposes of these parallel surveys. OTS will negotiate access to local lists in the selected areas on behalf of the contractor.

#### **Quality control measures**

- 101 Contractors should specify their quality control measures at each stage of the survey process.

## **PAYMENT**

- 102 A programme of payments will be agreed between the contractor and the Office for the Third Sector which will be proportionate to the resources expended by the contractor and linked to deliverables received. Please provide suggested payment schedule.

## **PROJECT AND RISK MANAGEMENT**

- 103 The contractor should have one project manager responsible for all components of the survey.
- 104 There will be one research project manager responsible for the survey from the client. The importance of quality and timely delivery mean that the project manager will be closely involved in the survey.
- 105 The development of the survey will be advised by a project/steering group to provide advice on the survey methodology and requirements. The contractor will be required to attend the project group meetings.
- 106 Allowance should be made for attendance and contributions to 10 such meetings in the bid (6 during wave one and 4 within wave two). The contractor will be required to provide the secretariat function for this project group, taking minutes and organising dates. These meetings will be quarterly during the life of the project, adjusted to meet with key milestones and deliverables.
- 107 Project management meetings will take place at key stages during the survey between the Contractor and the project manager. Brief weekly progress reports will be required in the form of a one-page email summary giving an update on the project, particularly fieldwork, reporting on the expected and achieved response rate.
- 108 The client project manager will provide advice and guidance on any issues arising during the course of the project.
- 109 **Please outline your approach to project and risk management of this project, specifying what the key risks to the timetable will be and how they would be managed.**
- 110 **Please specify your quality management processes and how the key quality issues associated with the project will be managed within the contract.**

## **BIDS**

- 111 The criteria for evaluating the bids are set out in **Annex A**. Tenderers should ensure that their bid should include completing the costings tables set out in section 123. The letter of invitation sets out the requirements of the bids, the tenders should include this information plus requirements set out in this specification.
- 112 If you are bidding for Lot A and B then please provide separate tenders for each.

113 We may propose to contract with you to take forward certain elements of your proposal independently from other elements.

## **ENVIRONMENTAL AND SOCIAL ISSUES**

114 Contractors are reminded of the importance of compliance with environmental best practice. Please outline your environmental/sustainability policy. This includes the environmental and social impact of your organisation - for example, sustainability, health and safety of the public and employees, the community impact of their business and equality issues (such as race, age, disability)

115 Contractors should ensure that they are compliant with the Compact codes of good practice in working with third sector organisations, and that the questionnaire and all contacts with the sector are in the spirit of the Compact.

## **FORM OF TENDER**

116 Please provide a detailed project plan (including a Gantt Chart) of the proposed programme of work.

117 Describe your approach to each of the tasks and how you will undertake, manage and supervise the work.

118 The proposal should include a resource profile showing the number of days allocated to each key team member against each of the tasks.

119 You are required to complete a breakdown of costs for each element of the project in the form below. Please provide estimates of cost against tasks including personnel, overhead costs, and expenses..

120 Please provide description of qualifications of key personnel and their role, as well as their costs per day

121 Tenderers for Lot B are requested to enclose one copy of two reports which have presented and analysed survey data and have been conducted by the tenderer to contribute to the evaluation process.

122 If you have been asked to tender for both lots please provide two **separate** tenders, as these lots are being assessed separately.

123 Please provide separate costings for each stage of the process including:

### Lot A

- Provision of the sampling frame
- Provision of hard data
- Supporting the local pilot surveys
- Project management

### Lot B

- Questionnaire development/design
- Sampling
- Fieldwork (showing the cost of each element including mailing stages, reminders, etc).
- Data processing

Analysis

Reporting (showing separate cost for each report proposed)

Project management

Separate costings are also necessary for each significant task required for the three local pilot surveys (Annex C)

We also require separate costings from any additional options proposed

For each of these elements please provide in your details of, :

<b>Task</b>	<b>Name</b>	<b>Job title/role</b>	<b>Rate per day</b>	<b>No days</b>	<b>Total cost</b>

## Annex A

### Evaluation Criteria Lot A

The bids will be assessed on the following evaluation criteria and weighting. These will be used both on initial sift and interview.

We select based upon the most economically advantageous tender in terms of the criteria stated below.

<b>Criterion</b>	<b>Weighting</b>
Understanding of requirement and suitability of proposal and methodology, including timescales	35%
Assessment of whether proposals meet the delivery timetable	20%
Price	20%
Track Record of contractor	10%
Project, quality and Risk Management	10%
Overall quality of bid response	5%

## Evaluation Criteria Lot B

The bids will be assessed on the following evaluation criteria and weighting. These will be used both on initial sift and interview.

We select based upon the most economically advantageous tender in terms of the criteria stated below.

<b>Criterion</b>	<b>Weighting</b>
Understanding of requirement and suitability of proposal and methodology, including timescales	35%
Evidence of delivery of analysis and report writing	20%
Price	20%
Track Record of contractor	10%
Project, quality and Risk Management	10%
Overall quality of bid response	5%

ANNEX A Evaluation Criteria

ANNEX B: The Environment for a Thriving Third Sector – Research Paper.  
April 2008 (attachment and will shortly be available as publication on OTS  
website)

ANNEX C Requirements for local supplementary survey

ANNEX D marked up questionnaire (as attachment, not published and not  
for circulation)

## **Annex C: detailed requirement for supporting supplementary surveys of under the radar organisations and surveying them in 3 areas**

As discussed in para 33 and 93 we are requesting the contractor for Lot A and B to contribute to supplementary surveys in three local areas and development of a methodology to survey the unregistered segment of the third sector.

We require:...

### **LOT A:**

- Produce sampling frames from these local lists which are compatible (and do not overlap) with the national sampling frame This is to minimise the risk of the survey being sent to organisations sampled in the NI7 survey. The process for this is likely to resemble the matching process undertaken during the development work (see Chapter 4 of the Research Paper).

### **LOT B**

- draw a sample (if not a Census mailing) of under the radar organisations in each area (see chapter 5 of the Research Paper for the general sampling approach)
- Mail to approximately 1,500 TSOs in total, spread over 3 areas, with an anticipated response rate of at least 38 per cent, to yield an achieved sample of around 570 TSOs ie an average of 190 per area. But there may be large differences between areas in their sample sizes: in small areas there may only be around 200 under the radar TSOs listed for sampling; in large ones there could be a 800.
- The questionnaire should be very similar to the main survey questionnaire, for comparability with different parts of the sector. (Note that the pilot questionnaire was tested on under the radar organisations as well as on the population to be covered by the main survey. The results will be made available to the contractor.)
- Manage fieldwork, response monitoring and maximisation, data handling and reporting as for the main survey.
- The survey should use the same follow-up protocols as the main survey of one postal survey followed by two postal reminders, and a telephone reminder.

The following outputs are required:

### **LOT B**

- Headline and local reports for each of the areas, complete with interpretation. The headline reports should mirror the ones produced for the main survey as far as possible. The local report should include a summary profile of the nature of the local under the radar part of the third sector.
- A short summary report of issues unique to this part of the sector as identified in this small sample of areas, based on differences and similarities between the under the radar part of the sector responses in the areas covered and the main survey population.
- Similar to the main survey, fortnightly response reports should be made available to the research managers, and key local stakeholders.

The contractor will also contribute to wider efforts in conjunction with OTS and its stakeholders to a) improve the quality of local listings or utilise national listings of the under the radar population, and b) provide materials to enable local authorities to administer supplementary surveys of the under the radar population, to the same standard as in the three areas described above. This will involve:

#### LOT A

- Input to one or two expert meetings on compiling local sampling frames of this population, and contributing to guidance documents concerning the compilation of sampling frames and de-duplication in relation to the national frame. This will draw on the Local Area Profiles Toolkit. The timetable for this will be determined by OTS and is likely to occur over Summer/Autumn 2008.

#### LOTS A and B

- Provide protocols and documents. These should be readily accessible, clear and consistent with the main survey method.
- Contractors should estimate the number of days required and give a daily rate for producing their respective Lot's input to such guidance and supplying supporting documentation, templates and protocols.
- The contractor should work with OTS to determine the appropriate timing of such surveys, and guidance on the survey conduct should be in place for then.

#### Taking forward learning from the local surveys:

##### LOTS A and B

- The contractor will document the learning from compiling frames and conducting local surveys of the under the radar population. These should cover all aspects of the survey process. It should include a technical report on conducting the surveys, including any revisions to guidance notes, and a report on the recommendations for improvements for the future when such surveys may be conducted on a larger scale.