

# Request for Proposal



**Request for Proposal (RFP) on behalf of UK Research and Innovation**

**Subject: ISCF Healthy Ageing Challenge: Evaluation**

**Sourcing Reference Number: CR20046**

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# Section 1 – About UK Shared Business Services

## Putting the business into shared services

UK Shared Business Services Ltd (UK SBS) brings a commercial attitude to the public sector; helping Contracting Authorities improve efficiency, generate savings and modernise. It is our vision to become the leading service provider for Contracting Authorities of shared business services in the UK public sector, continuously reducing cost and improving quality of business services for Government and the public sector.

Our broad range of expert services is shared by our Contracting Authorities. This allows our customers the freedom to focus resources on core activities; innovating and transforming their own organisations.

Core services include Procurement, Finance, Grants Admissions, Human Resources, Payroll, ISS, and Property Asset Management all underpinned by our Service Delivery and Contact Centre teams.

UK SBS is a people rather than task focused business. It's what makes us different to the traditional transactional shared services centre. What is more, being a not-for-profit organisation owned by the Department for Business, Energy & Industrial Strategy (BEIS), UK SBS' goals are aligned with the public sector and delivering best value for the UK taxpayer.

UK Shared Business Services Ltd changed its name from RCUK Shared Services Centre Ltd in March 2013.

## Our Customers

Growing from a foundation of supporting the Research Councils, 2012/13 saw Business Innovation and Skills (BIS) transition their procurement to UK SBS and Crown Commercial Services (CCS – previously Government Procurement Service) agree a Memorandum of Understanding with UK SBS to deliver two major procurement categories (construction and research) across Government.

UK SBS currently manages £700m expenditure for its Contracting Authorities. Our Contracting Authorities who have access to our services and Contracts are detailed [here](#).

## **Privacy Statement**

At UK Shared Business Services (UK SBS) we recognise and understand that your privacy is extremely important, and we want you to know exactly what kind of information we collect about you and how we use it.

This privacy notice link below details what you can expect from UK SBS when we collect your personal information.

- We will keep your data safe and private.
- We will not sell your data to anyone.
- We will only share your data with those you give us permission to share with and only for legitimate service delivery reasons.

<https://www.uksbs.co.uk/use/pages/privacy.aspx>

For details on how the Contracting Authority protect and process your personal data please follow the link below:

<https://www.ukri.org/privacy-notice/>

## Section 2 – About the Contracting Authority

### UK Research and Innovation

Operating across the whole of the UK and with a combined budget of more than £6 billion, UK Research and Innovation represents the largest reform of the research and innovation funding landscape in the last 50 years.

As an independent non-departmental public body UK Research and Innovation brings together the seven Research Councils (AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC) plus Innovate UK and a new organisation, Research England.

UK Research and Innovation ensures the UK maintains its world-leading position in research and innovation. This is done by creating the best environment for research and innovation to flourish.

For more information, please visit: [www.ukri.org](http://www.ukri.org)

## Section 3 – Working with the Contracting Authority.

Section 3 – Contact details		
3.1.	Contracting Authority Name and address	UK Research and Innovation of, Polaris House, Swindon, SN2 1FL
3.2.	Buyer	Victoria Clewer
3.3.	Buyer contact details	Research@uksbs.co.uk
3.4.	Maximum value of the Opportunity	The maximum value of this opportunity is £600,000.00 Excluding VAT
3.5.	Process for the submission of clarifications and Bids	<b>All correspondence shall be submitted within the Messaging Centre of the e-sourcing tool. Guidance Notes to support the use of Delta eSourcing are available <a href="#">here</a>. Please note submission of a Bid to any email address including the Buyer <u>will</u> result in the Bid <u>not</u> being considered.</b>

Section 3 - Timescales		
3.6.	Date of posting of Contract advert to OJEU.	Wednesday, 3 <sup>rd</sup> June 2020
3.7.	Date RFP available to Bidders on Contracts Finder	Friday, 5 <sup>th</sup> June 2020
3.8.	Latest date / time RFP clarification questions shall be received through Delta eSourcing messaging system	Friday, 3 <sup>rd</sup> July 2020 11:00
3.9.	Latest date / time RFP clarification answers should be sent to all Bidders by the Buyer through Delta eSourcing Portal	Tuesday, 7 <sup>th</sup> July 2020
3.10.	Closing date and time for Bidder to request RFP documents	Wednesday, 29 <sup>th</sup> July 2020 11:00
3.11.	Closing date and time for Bidder to submit their response (' <b>the deadline</b> ').	Thursday, 30 <sup>th</sup> July 2020 11:00
3.12.	Clarifications (if required)	Week commencing Monday, 10 <sup>th</sup> August 2020
3.13.	Notification of proposed Contract award to unsuccessful bidders	Monday, 24 <sup>th</sup> August 2020
3.14.	Anticipated Contract Award Date	Monday, 7 <sup>th</sup> September 2020
3.15.	Commencement of Contract	Tuesday, 15 <sup>th</sup> September 2020
3.16.	Completion of Contract	Friday, 29 <sup>th</sup> March 2024
3.17.	Bid Validity Period	90 Days

## Section 4 – Specification and about this procurement

### 1. Background

#### **Background to the Industrial Strategy Challenge Fund**

The Industrial Strategy Challenge Fund (ISCF) is part of the Government's Industrial Strategy, the long-term plan to raise productivity and earning power in the UK. The fund is a core pillar in the government's commitment to increase funding in research and development by £4.7 billion over 4 years to strengthen UK science and business. It is focussed on investing in the world-leading research base and highly-innovative businesses to address the biggest industrial and societal challenges today.

The ISCF provides a highly directed approach to achieving outcomes that have the potential to be of major economic and social benefits to the UK. Delivered primarily through UK Research and Innovation (UKRI), it combines the UK's research strength funded through Research Councils with the business focussed, competitive approach of Innovate UK. The aim is to accelerate the application of UK industry-led solutions, in challenges in which specific programmes will look to develop technologies, products, services and processes where the global market is potentially large, and the UK has the scientific, design and business capability to become a world-leader.

The ISCF aims to improve the performance of our whole science and innovation system and is essential to realise the R&D ambitions of the Industrial Strategy. The industry-led approach of the ISCF accelerates the application of new solutions including the commercialisation of new technologies, products, processes and services to increase productivity. This will create new export opportunities and enable new business models to flourish. It will enhance and capitalise on our world-class research base, enabling businesses to apply cutting-edge research in new applications in global markets of the future.

#### **Background to the Healthy Ageing Challenge**

The Healthy Ageing (HA) Challenge is one of over 20 programmes under the [Industrial Strategy Challenge Fund](#). The HA Challenge is comprised of a £98 million investment that aims to enable businesses, including social enterprises, to develop and deliver products, services and business models that will be adopted at scale which support people as they age. This will allow people to remain active, productive, independent and socially connected across generations for as long as possible.

**The Challenge started in December 2017, the delivery plan was approved in August 2019, with funded programme activities starting from 6 January 2020 and due to finish by 29 March 2024.**

The Healthy Ageing Challenge supports the UK Government's Ageing Society Grand Challenge to ensure people can enjoy at least 5 extra healthy, independent years of life by 2035, while narrowing the gap between the experiences of the richest and poorest.

#### **The objectives of the Challenge are to:**

- Focus investments to enable self-sustaining, near to market propositions which have clear potential to move to scale and spread to new markets.
- Stimulate consumer markets in the UK by enabling business-led consortia to develop large-scale markets for healthy ageing services and products.
- Attract private investment to drive onward business growth

- Make the most of the UK's strengths, particularly in design and manufacturing, to attract inward investment.
- Stimulate economic growth in the UK by enabling UK-based companies to exploit global markets for healthy ageing services and products.

The Challenge is governed by a Programme Board which ensures the Challenge remains on track including spend profiles. There is an additional external Advisory Group which challenges and advises the Challenge Director on the strategic focus of the Programme.

The HA Challenge draws on the "[Healthy Ageing Challenge Framework](#)", developed by The Centre for Ageing Better to stimulate thinking about the ISCF Healthy Ageing Challenge. It defines seven broad themes which offer the greatest opportunities to tackle market failures and stimulate innovation. All funded projects will need to show how they tackle one or more of these challenges of older life. The seven themes are:

- Sustaining physical activity
- Maintaining health at work
- Design for age-friendly homes
- Creating healthy, active places
- Supporting social connections
- Living well with cognitive impairment
- Managing common complaints of ageing.

**Two further reports commissioned by the HA Challenge have informed the Challenge delivery plan:**

- [The Centre for Ageing Better and Big Society Capital review of Healthy Ageing Innovation and Investment in the UK](#)
- [Oxford University's Centre for Population Ageing review of previous government funded initiatives in healthy ageing](#)

### **Healthy Ageing Challenge Evaluation**

The evaluation for the HA challenge will focus on two areas:

#### **1) The process and design of the Challenge in enabling the aims and objectives to be achieved.**

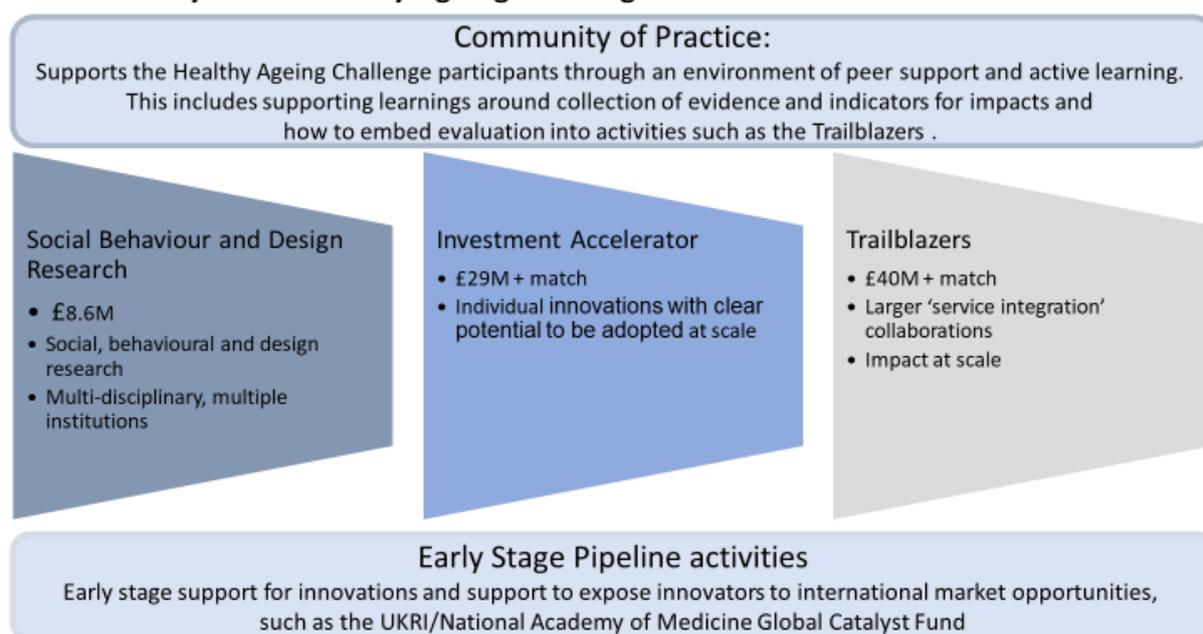
The **Process Evaluation** will focus on the conduct of the Challenge. It should consider how the approach, plan and timeframes of the challenge activities together with the governance arrangements, have facilitated interest, engagement, new collaborations, iterative learning and contributed to achieving the objectives of the Challenge. It should also consider and test how the Challenge has defined the Healthy Ageing problem, and consider assumptions made in defining the Challenge delivery plan, including the **logic model** (Annex 1 Benefits Map (Logic model)) for achieving impact.

#### **2) The HA Challenge level impacts at both an overall challenge and individual activity level**

The **Impact Evaluation** will draw on evidence from a number of areas in order to establish societal impact. The evaluation must include the activities in the HA Challenge portfolio (see Figure 1 below). The earliest these activities are scheduled to start is April 2020 and will continue to roll out throughout the life of the Challenge. We do not expect any significant impacts before April 2021. However, to

establish a baseline evaluators will need to begin collection of evidence earlier:

**Figure 1: Summary of the Healthy Ageing Challenge Investments:**



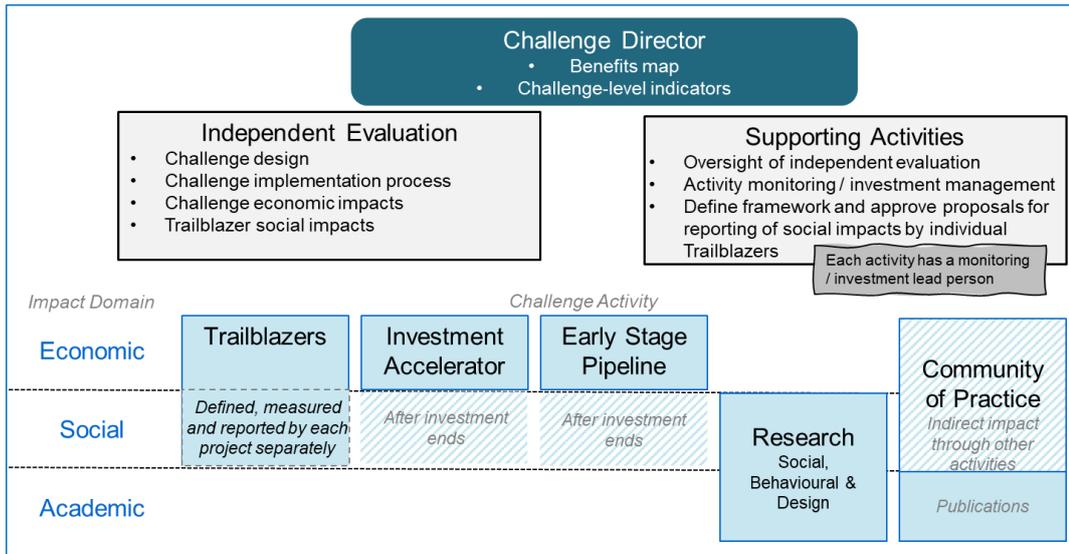
- A £40M **Trailblazer** competition to establish a number of larger 'service integration' collaborations that will scale up innovative propositions which support people as they age, in particular, addressing gaps in the market for aspirational and affordable services and products. The Trailblazers are expected to be a heterogenous group covering diverse objectives. They will be required to establish a 'self-evaluation' plan including defining indicators to demonstrate progress and a process for capturing an implementation narrative to inform learning. They will be supported throughout the life of the Challenge via the establishment of the Community of Practice to share insights and access additional expertise.
- **Investment Accelerator** (£29M) with private finance to address the funding gaps and attract private capital to invest in the healthy ageing space. The investment accelerator will provide investment to companies looking to develop and take to market innovations that address healthy ageing market opportunities, including propositions aiming to achieve a social impact. The first competition for investment partners completed in March 2020 with a commitment to co-invest up to £13M in grant funding, and the first opportunities for businesses to bid for funding are due to be announced in June 2020.
- A programme of **Social, Behavioural and Design Research** (£8.6M) that further develops the research base to inform innovators and influence market behaviours, such as informing the design of new community developments.
- A **Community of Practice** to maximise the opportunity to achieve a sustained impact by facilitating collaboration across the Challenge. This programme facilitates collaboration across the investment portfolio to maximise impact, facilitate international collaboration, support knowledge exchange and foster a pipeline of early stage innovations. The Community of Practice will be providing support to the Trailblazers, and the Social, Behavioural and Design Research Programme (SBD RP) to help them create and provide a 'self-evaluation' plan and indicators showing progress and learnings, along with their own metrics and narrative of success of their funded activities.
- **Developing a pipeline of early-stage innovations** (£12M) through support to projects linked to fresh insight arising from the Challenge and including support to expose innovators to international market opportunities.

The Trailblazers, Investment Accelerator and the pipeline activities are both focussed on starting up and

scaling up new businesses and ideas, as well as supporting existing businesses to develop new areas and scaling up.

Figure 2 (below) illustrates the overall evaluation design and the nature of the expected impacts of each activity within the life of the Challenge. In particular it highlights that some of the data that will inform the evaluation will be collected by Challenge project monitoring activities and through self-reported metrics from the individual Trailblazer projects. (see **Annex 3 Proposed Indicative Measures** (TBA))

**Figure 2: Evaluation design:**



## 2. Aims and Objectives of the Project

UKRI is seeking to commission an independent evaluation of the Healthy Ageing Challenge To:

- demonstrate the extent to which the HA Challenge aim and objectives have been reached throughout the life of the Challenge;
- identify if and how the Challenge can forecast what impacts might happen by 2035 and to recommend what data we need to achieve this.
- demonstrate how the process (implementation) of the Challenge has impacted, if any, on the above
- identify lessons and capture impacts beyond what was planned and intended
- verify the sustainability of whole-system changes, addressing the tension between the persistence of past practice and the adaptation to a changing context.

**Annex 1** presents the Benefits Map (Logic model) for the Healthy Ageing Challenge.

The HA evaluation will consist of both an **Impact Evaluation** (including societal and economic impacts) and a **Process Evaluation**.

### The Impact Evaluation objectives

1. Determine the extent to which programme activities have implemented their planned activities and achieved their planned impacts.
2. Explain successes, partial successes and failures of programme activities to enable self-sustaining, near to

market propositions which have clear potential to move to scale and spread to new markets.

3. Determine the extent to which the Challenge has made the most of the UK's strengths, particularly in design and manufacturing, to attract inward investment.
4. Verify the sustainability of whole-system changes, addressing the tension between the persistence of past practice and the adaptation to a changing context.
5. Generate lessons to explain the extent to which the Challenge has stimulated economic growth in the UK by enabling UK-based companies to exploit global markets for healthy ageing services and products, including, but not limited to:
  - the extent to which the Challenge activities have stimulated consumer markets in the UK by enabling business-led consortia to develop large-scale markets for healthy ageing services and products.
  - the extent to which the Challenge has attracted private investment to drive onward business growth
6. Explain successes, partial successes and failures which the Challenge has achieved in societal impact, including at population level. This should include whether activities have had or likely will have the intended impact on their target population group(s) and should identify lessons and capture impacts beyond what was planned and intended
7. Identify if and how the Challenge can forecast what impacts might happen by 2035 and to recommend what data we need to achieve this.

### **The Process Evaluation objectives**

The Process Evaluation objectives are to determine to the extent and nature to which the HA Challenge design and delivery (process) including challenge activities and governance has contributed to achieving the objectives of the challenge. This includes considering how the HA Challenge has defined the healthy ageing problem and to highlight the assumptions that have been made including the time and processes to achieving impact. This includes understanding:

- To what extent, and how, has the set up and delivery of the programme encouraged the collaboration (or partnerships) of businesses and academics?
- To what extent and how has the set up and delivery of the programme encouraged collaboration of businesses of different sizes (e.g. large corporations with SMEs)?
- The extent to which the Challenge has met budgetary expectations. Were there unforeseen issues and hidden costs?
- How effectively have the different parts of the Challenge worked together and made the programme as a whole more effective, as opposed to delivering individual workstreams? (e.g. they may achieve this by sharing the outputs across the workstreams or interact in other ways)
- Has the Challenge sufficiently aligned to industrial and consumer needs? (e.g. this could be that industrial needs are fed into research; the scoping of competitions reflects the industrial needs)
- Determine the extent to which the Challenge has aligned and helped to address the Government's Ageing Society Grand Challenge, Sector Deals, 2.4% R&D expenditure target or other initiatives in the

relevant sector)?

- How well has delivery monitoring enabled the team to respond to delivery or performance issues promptly and effectively? Note: delivery monitoring tracks programme progress, risks, finance, key management data etc.
- How well does outcoming monitoring enable the team to understand if the Challenge is on track to deliver impacts?
- What improvements can be made to monitoring of both delivery and outcomes?
- Is there sufficient quality assurance for the monitoring data (i.e. what steps have we taken to minimise errors in data entry/extraction/analysis?) and are they sufficiently robust to support KPI?
- Has due diligence effectively identified projects with unacceptable levels of technical or project delivery risks (including risk of applicant's financial failure)? To what extent and how has the design and delivery of the challenge enabled iterative learning and community of practice and what is the impact of this on the Challenge.

**The primary audience for the evaluation is** the HA Challenge and UK Research & Innovation. Other key stakeholders will also review the evaluation including the Department for Business, Energy and Industrial Strategy (BEIS), Department of Health and Social Care (DHSC), and HM Treasury (HMT). The evaluation will also be made available to interventions funded by the Challenge. We anticipate there will be wider interest in both the methodology of the evaluation as well as the findings including from other government departments and the wider research community.

It is likely there will be variations between how the primary audience and key stakeholder will use the evaluation . Indicative variations on use include:

- To demonstrate compliance with process (HMT, BEIS)
- As a case for further investment in innovation (HMT, BEIS, DHSC, UKRI)
- As a case for changes to the funding of public services (not currently expected) and to evidence 'what good looks like' (DHSC and Other Government Departments)
- To improve the ongoing conduct of the Healthy Ageing Challenge (UKRI, participants)

The timeline for the evaluation set out in this specification currently ends near to the completion of the Challenge-funded activities. However, some impacts of the programme are long term in nature. Therefore, the final evaluation report should highlight the evidence, outcomes and impacts realised to date. It must also forecast the prospect of future impacts occurring based on progress to date and relevant (evidenced) trajectories. For the Healthy Ageing Challenge the trajectory between the end of programme activities and 2035 is of particular interest.

It should be noted that as the Challenge progresses, the evaluation questions, scope or nature of the programme may evolve. The evaluation provider must be able to adapt to these changes as necessary to ensure the evaluation at the end of the programme is appropriate and relevant. **Consortia bids are welcome.**

### 3. Suggested Methodology

**Bidders are invited to outline the methodologies they will use to meet the aims of the evaluation.**

**It is anticipated a variety of methods will be used.**

Bidders are expected to identify and justify the most appropriate method(s) and propose approaches to evidencing attribution of the Healthy Ageing Challenge contribution to the UK R&D landscape. The methods are also expected to provide insights from the existing evidence and sector baselines, and a counterfactual baseline of comparative businesses. It should be noted that the market for this Challenge is not clearly defined or established. Hence the successful bidder will be required to consider how to define the appropriate scope, market, baseline and implications for data collection for the evaluation.

**Bidders are encouraged to think innovatively** in terms of how they propose to address the evaluation aims, although innovation should **not** be to the detriment of robustness. The funding partners are keen to push boundaries in their evaluations, in order to improve the quality of their evidence base. Bidders are also welcome to evidence where they are building on existing knowledge and best practice.

**It is anticipated that societal and broader impacts will most likely be captured through qualitative approaches**, and bidders are encouraged to consider these approaches as well. Indicators that are used to capture new products, processes and services also must capture the *quality* of these, including if they are exacerbating inequalities. Bidders are also encouraged to explore the suitability of methods that can help the evaluation illuminate the wider impact on society, such as **Social Return on Investment (SROI)** or other appropriate measures of value.

#### **Process Evaluation**

Bidders are invited to outline how they will undertake a Process Evaluation. It is anticipated that findings from this work will allow the ISCF Healthy Ageing Challenge team to react and adapt to the findings, insights and learnings during the delivery of the programme. Bidders should refer to audience requirements in Section 2 of this document.

#### **Impact Evaluation**

Bidders are invited to outline how they will undertake Impact Evaluation. It is anticipated that findings from this work will allow the ISCF Healthy Ageing Challenge team to justify further funding in line with the audience objectives outlined in section 2 of this tender brief.

The Healthy Ageing Challenge poses significantly different evaluation requirements compared to other ISCF Challenges. The successful bidder will be expected to propose an approach to the impact evaluation that addresses potential issues, such as the paucity of suitable data, to establish a credible baseline that also provides a basis for a counterfactual analysis.

The following subsections give further guidance on both the process and impact evaluation:

#### **Developing a baseline**

As a guide, the baseline should include:

- **The state of key metrics/indicators for outputs, outcomes and impacts in the absence of the Challenge.** For example, this could include metrics on funded organisations and

counterfactuals at the application stage, expected trends on uptake of HA solutions, level of knowledge and readiness or insights on the HA opportunities by surveying a group or community of organisations that are expected to be impacted by the challenge. **This may draw on multiple data sources of both new (primary) such as survey and project level data, and existing (secondary data) such as industry statistics or expected trends for the relevant parts of research and industry.**

- A baseline for longer term impact measurement of the Healthy Ageing funding, including how the Challenge can predict what might happen by 2035 and to recommend what data we need to enable this.
- A clear definition of which part of the sector/research the baseline has been built from
- A description of all caveats and assumptions surrounding the evidence that forms part of the baseline report (incl. definitions, sample size, response rate, collection method, caveats of data)
- Any baseline metrics needed from the HA funded activities

Proposals should also consider how to capture and present this for projects that have already commenced under this programme, *i.e. collect data retrospectively, especially for those who have not put in place the appropriate data collection protocols.*

It will not be possible to rely on Challenge administrative data to construct a baseline. Healthy ageing encompasses a wide range of industries and established sectors, but the related products and services are not typically recorded as an identifiable sector or retail category. As a result, data may not be readily available. Proposals should set out the approach to segmenting the market, establishing the baseline characteristics (size, growth etc) of the relevant segments as well defining the population(s) to be used in assessing impacts.

Bidders may wish to consider a combination of data collection and analysis methods to demonstrate impact indicators. It may be that not all methods are appropriate, but it is unlikely that any one alone will be sufficient. Proposals should set out how different data collection and analysis methods will be deployed and will be combined to produce the final findings. Proposals should also set out how the particular data collection and analysis methods will address the evaluation questions in a robust manner.

### Data Collection

Data collection methods could include but are not limited to industry consultations, case studies, surveys of stakeholders or beneficiaries, in-depth interviews, or use of data from existing datasets.

For survey activity, proposals should indicate the type (face to face/phone/online) of survey to be implemented, an indication of and comment on the required or expected sample size and any strategies to maximise the response rate.

Where qualitative methods are proposed, bidders should indicate what they will deliver and why they have been chosen. For example, if case studies are proposed, bidders should give an overview of the number of case studies to be conducted and what selection/sampling methods (*i.e. theoretically justified purposive sampling, willingness to participate approach etc*) What methods (*i.e. face to face, phone interview*) are going to be implemented, taking into consideration the time and costs of the different methods implemented and the trade-off between depth and breadth. Proposals should also set out how

case study findings will be analysed and presented.

It should be noted that the projects awarded under this Challenge will be awarded at different times and are of varying duration and funding. Bidders are therefore encouraged to consider whether rolling data collection approaches or undertaking data collection at a set point in time relative to the start or end of each project is the recommended approach or suggest alternative approaches for the timing of collection.

For baseline data collection, where possible the data should represent project level information at the application stage/ point in time before projects have engaged with the programme. It is acknowledged that some workstreams will have commenced funded programme activity ahead of the appointment of an evaluation partner. Bidders should outline their approach to developing a meaningful baseline in these instances.

Primary data collection must build on what is already collected through existing processes, either of funding organisations or third parties, with any new data collection designed to fill in the gaps. This is to minimise the burden on respondents. The evaluation may utilise data-linking from existing data sets, potentially including to proprietary third-party datasets. Access to these datasets should be considered and costed into proposals.

Indicators must capture the quality of a measure, including impact on inequalities, as well as a quantum. Indicators that focus on a single metric such as “the number of” need to be accompanied by supplementary data to also ensure that the quality of what has been measured is captured. For instance, a headline metric for the number of downloads or subscribers for digital interventions would also need to measure abandonment rates alongside adoption/download statistics; and also capture experiences by users of these digital interventions.

### Surveys

Where surveys are to be used as a tool bidders should consider the following guidance:

- Include a recommendation for the size and composition of sample(s) and justification for your approach, along with any risks, proposed research questions, proposed indicators, proposed approach to baseline and counterfactual;
- Provide a detailed description of the data collection methods – including details of sampling etc., detail of qualitative and quantitative analysis approaches
- Outline how the evidence collection will be structured to ensure both numbers and quality of the outcomes/impacts are captured
- Explain how all the ‘code’ used for econometric and survey data analysis will be made available and how any data protection issues will be resolved

The bidder should consider how to survey or collect data and information from individuals that UKRI does not have funding or contractual relationships with. Hence the bidder will need to consider how data may be obtained efficiently and effectively from these individuals or broader pool of industry in a GDPR compliant manner. Bidders should consider the most streamlined way to collect information from these individuals with an aim to maximise quality and rate of response.

Whilst the evaluator will have access to successful applicants and activities, unsuccessful applicants are not legally obliged to undertake follow up activity. Evaluators may consider inviting them to participate in follow up surveys etc but they should not be relied on as the sole form of evidence gathering in an area.

### Analysis

Proposals should clearly set out where reliable, quantified impact estimates are expected to be achievable, and where a more qualitative or descriptive approach would be recommended. They should also include a long term return on investment and value for money assessment for the programme where possible. The analysis methodology could include but is not limited to econometric analysis (including counterfactuals), analysis of primary or secondary data as well as theory-based techniques such as contribution analysis.

We anticipate this will be challenging due to an imperfect/incomplete evidence base and uncertain future impact, but the evaluator should use sensitivity and/or scenario analysis to produce a best possible estimate. When considering return on investment, the evaluator should assess the value for money of the programme using appropriate benchmarks.

If an econometric analysis based on survey data is proposed as a method for evaluation, the bidders should provide the required sample size in the bid, power analysis where relevant (with an aim to achieve appropriate statistical significance) and how low power issues will be mitigated if the evaluation were to encounter them.

For counterfactual analysis proposals should outline which control group(s) and what characteristics (e.g. sector, location, R&D intensity) will be used for the purposes of comparison, how data will be collected from the sample (both treatment and control groups), including how any issues around securing engagement and participation from treatment and control groups would be addressed.

Given the scale and complexity of the Challenge and the evaluation, UKRI is interested in examining the potential to use multiple control groups to help verify findings. For example, for Collaborative R&D projects, proposals could consider deploying a control group of unsuccessful applicants and another from business databases, drawn from the general population.

### Other considerations

The proposed approach should follow best practice guidance in designing evaluations as set out in HM Treasury's Magenta Book. This includes identifying relevant analytical challenges and outlining how they would be addressed. For example, measuring deadweight, displacement, leakages and spillovers, defining/identifying a counterfactual, trade-offs between robustness and practicability, the reliability of quantified results, potentially small sample sizes, and intangible outcomes and impacts. Bidders will need to show how their methodology will go beyond solely using general estimates drawn from the wider literature. If bidders are planning to use the measurement of Gross Value Added (GVA) in the challenge area and the UK economy, proposals should highlight to what degree this is plausible and what are the challenges they might encounter on trying to do so, and how these measures build up to provide a wider understanding of the impact of ISCF funding.

It is anticipated that to understand fully the impact of interventions/products/processes or services on individuals a mixed-methods evaluation approach (qualitative and quantitative) should be implemented.

Both elements are equally crucial for the Challenge Fund. For example, without the measurement of social impact, an intervention could be classified as 'successful' due to the profit it is making or number of people it is reaching. However, it would not be possible to know whether it is having a positive or negative impact on end users, including whether it would serve to reduce the gap between the experience of the richest and poorest.

This approach will enable a better understanding of the activities funded, including successes and potential failures:

- The extent to which an intervention/product/process or service has a positive impact even when it was not complete nor universal;
- How easy any intervention/product/process or service is to use, including whether, if it is resource or time-intensive, will it be used correctly by individuals
- Are there wider contextual issues or unintended consequences that make an intervention/ product/process or service difficult for users; or if the intervention/product/process or service is exacerbating or creating inequalities
- The likelihood that the intervention/product/process or service will be effective if scaled-up to other geographic areas or delivered to different population groups

Proposals should give consideration to relevant external and policy factors such as the Government's Ageing Society Grand Challenge and the impact of the Covid-19 pandemic. External factors could also be the implementation of similar programmes overseas that target similar markets.

Proposals should set out how the evaluation approach will change depending on the distance to market of the work in question. For example, how the approach to evaluating research might differ from that for business or social enterprise innovation. Proposals should also evidence how they will address the issue of capturing new markets being developed, including those that are not likely to emerge in the lifetime of the fund and what evidence would be needed to demonstrate the emergence or potential emergence of a market as a result of the fund.

### Portfolio Context

The Healthy Ageing Challenge exists as part of Industrial Strategy Challenge Fund (ISCF) Portfolio.

The ISCF portfolio level evaluation has a broader set of objectives and will build on, and aggregate information from, evaluations from different Challenges, including the HA Challenge.

The ISCF Fund objectives are:

- Increased UK businesses' investment in R&D and improved R&D capability and capacity
- Increased multi- and interdisciplinary research around the Challenge areas
- Increased business-academic engagement on innovation activities relating to Challenge areas
- Increased collaboration between younger, smaller companies and larger, more established companies up the value chain
- Increased overseas investment in R&D in the UK

The successful bidder will need to consider the alignment of HA Challenge evaluation questions to the ISCF objectives above and outline these in the evaluation framework.

The ISCF portfolio indicators for the objectives are:

- Additional £ spent on R&D due to the funded project(s) by firms involved in project
- Number of researchers working in different research areas and levels
- Number of publications in peer reviewed journals and citation impact
- Number of patents, prototypes, new products and services compared to baseline
- Number and type of collaborations before, during and after project funding
- Number of researchers employed in relevant business areas before, during and after
- Number of high-quality publications with business co-authorship.
- IP non-exclusively licensed to multiple firms, rather than exclusively sold to one
- Value / share of turnover based on innovations arising from collaborative projects

The successful bidder is required to review the relevance and appropriateness of the indicators above for inclusion in the HA Challenge evaluation. If these indicators are to be included, the successful bidder will need to outline these in the evaluation framework, including data collection and analysis methods. It might also be possible for additional indicators to be added to the ISCF framework for additional data points to be collected, where there is a compelling case for ongoing collection:

#### Sector and industry expertise

Bidder should also outline how they will bring in industry expertise and sector knowledge that are relevant to this challenge as part of the offering to evaluation. This could include but are not limited to:

- What impacts are expected as a result of delivering the programme for these particular industries
- What benchmarks and appropriate comparisons are available for businesses involved and not involved in the HA Challenge, as a way to analyse the impacts as a result of the programme
- State of industry and relevant industry, and therefore the relative impact of the HA Challenge given the size and landscape of the businesses/sectors that could engage with the Challenge.

#### To be provided to the successful bidder:

- Contact data: Innovate UK, ESRC and any funded investments hold the contact data for all individuals or organisations who have submitted an application for funding to the Challenge, both successful and unsuccessful.
- Management information about applicants: The HA Challenge collects management information on each applicant to the competitions. This includes;
  - Company name, address, Companies House number
  - Contact details for project lead
  - Total project cost, requested grant size, project overview
  - Current turnover, employment, profits, R&D expenditure. Note: this data may not be

complete as it depends on information shared by applicants.

- Publications
- Outputs produced
- Minutes of meetings with HA activities. Notes from these meetings will be made available to the successful bidder.
- Activity monitoring data: Such as quarterly updates from the SBRD programme and the Trailblazer monitoring officer reports
- Data submitted to Research Fish
- Project completion questionnaires: Projects in scope will complete a Project Completion Questionnaire (PCC) at the end of the grant-funded project. This collects data on collaboration activities, the type of innovation the grant funded project outputs and expected outcomes at the end of the projects

Bidders should consider how their evaluation methodology will link to and build on these data, in line with the 'collect once, use often' principle of data collection of the ISCF evaluation framework.

### **Stakeholders and collaboration**

The successful bidder will be encouraged to work with contractors that are undertaking other ISCF evaluations where appropriate to ensure best practice and consistency between evaluations and to create a link to the wider ISCF Fund-level evaluation. This may include joint meetings where already planned and budgeted for. The successful bidder will be expected to engage with:

- the lead award holders from the Trailblazers,
- the Investment Accelerator partners,
- lead award recipients for the Investment Accelerator and all other investments,
- the Research Director,
- the Community of Practice,
- Knowledge Transfer Network and appropriate organisations in this area such as Department of Health and Social Care, The National Innovation Centre for Ageing,
- trade bodies and sector institutes and Charities.

For the process evaluation the evaluator will be able to speak with the people involved in the governance structure such as the external Advisory Group, whose role is to challenge and advise the Challenge Director across the HA Challenge.

The evaluation contract will be managed by the Challenge Director, who devolves day to day management to the Impact & Performance Manager. The Challenge Director is accountable for the evaluation through wider ISCF Governance structures (Executive Team and Programme Board) and the National Productivity Improvement Fund (NPIF) Evaluation Oversight Board. The successful bidder may need to attend periodic meetings with the Challenge Director, Challenge Programme Board and occasionally the ISCF Steering Board to provide progress updates, present results and agree outputs as fit for purpose. On a day to day basis, the contractor will be working closely with the HA Challenge Impact and Performance Manager, who will be responsible for ensuring regular catch ups and overseeing the Challenge monitoring and evaluation activities.

#### **4. Evaluation Phase**

The evaluation process is expected to take place over **4 Phases**.

1. Evaluation Framework Development
2. Baseline measurement
3. Data collection, analysis and interim reporting
4. Final reporting

#### **Bidders are required to cost each of the 4 Phases separately.**

A validation workshop will be required to conclude each phase (Annex 4 Monitoring and Deliverables). Additionally, there will be a performance review and lessons learned exercise, allowing for reasonable adjustment to optimize the efficiency and effectiveness of the evaluation in the light of operational lessons.

The commencement of each phase will be subject to an authority to proceed issued by the Challenge Director.

The deliverables from each phase are listed below and again in Annex 2. In addition to this, management information updates are required to be submitted to the HA Impact and Performance Manager throughout the project. These and other monitoring requirements are listed in Annex 4 Monitoring and Management Information. Quarterly reports will include progress updates on the evaluation process and a summary presentation of key findings and messages to date. It is anticipated that the successful bidder will also be asked to present at least twice a year to UKRI, typically at a central London or Swindon office location, and are expected to cost appropriately for this.

Any reports planned for publication will be reviewed and signed off by UKRI. The successful bidder will be expected to make amendments to deliverables in order to satisfactorily respond to comments before publication. Where appropriate review comments may be published alongside deliverables. The successful bidder is also expected to present the findings at the end of the project as outlined in Phase 4

The successful bidder is expected to produce and deliver reports that are:

- Clearly presented with the use of graphics, diagrams and visuals to highlight findings.
- Readable and easy to understand by the general public and non-experts
- Written succinctly with a focus on the findings through data collection and analysis

The successful bidder is also expected to:

- Apply intelligence to the data collected and analysis
- Ensure accuracy and clear assumptions of data used.
- Ensure recommendations are based on robust evidence and accompany statistics and data with discussions and explanation of the impact of these data.

#### **Phase 1 - Evaluation Framework Development**

The objective of this Phase is to set out the intended approach to evaluation in detail - laying the groundwork for the conduct of the evaluation. It should be finished by the end of the first four months of

the contract. It is expected this will involve key stakeholder consultation via approaches such as interviews and workshops. (Annex 4 Monitoring and Deliverables) The output of this Phase will be an approved Evaluation Framework Report (EFR1) and a graphical diagram showing this Evaluation Framework (EF1) (Annex 2 contains a full list of deliverables)

As part of Phase 1, the evaluator will be required to: Consider, validate and refine the coverage of the proposed evaluation questions and indicators. This should also include consideration of the ISCF-wide objectives and indicators as set out above to revise any evaluation questions and indicators appropriately.

- Propose any changes to the current set of questions and indicators that could be delivered within the time and resources allowed the evaluation. In an exceptional case it may be possible to consider additional questions that require resources beyond the current budget for this evaluation if they would significantly improve the robustness of the approach or enhance the insight gained by UKRI from the evaluation.
- Validate and refine as necessary the Challenge's logic model (Annex 1) and key success criteria, building on the material already developed as set out in this document.
- Set out the scope of evaluation (including industry/sectors to be covered).
- Develop a detailed data collection plan specifying how existing data will be used, what new data will be collected, sample sizes, outline interview guides and survey instruments, statistical power calculations where relevant
- Develop a detailed outline proposed approach to the Process Evaluation Approach (PEA1) and Impact Evaluation Approach (IEA1), establishing counterfactuals, baseline etc.
- Develop a detailed analysis plan, explaining the method of analysis of all qualitative and quantitative data, including statistical analysis plans and approaches to synthesis and triangulation
- Develop a detailed timeline including key activities and deliverables
- Outline a stakeholder map for the evaluation and the approach to of communication with relevant groups and ways of working.
- Set out a clear plan for linking with the Community of Practice and drawing on their work as funded under the HA Challenge.

**Deadline:** To be completed within the first four months of appointing an evaluator

**Deliverables:**

- Evaluation Framework Report (EFR1) that covers the above requirements
- A graphical diagram showing in simple terms the Evaluation Framework (EF1) that is proposed – to be used throughout the project as a key material
- Process Evaluation Approach (PEA1)
- Impact Evaluation Approach (IEA1)

**Processes:**

- Workshops (inception, validation workshops) (Annex 4 Monitoring and Deliverables) with key Challenge stakeholders and subject matter expertise to validate understanding of the Challenge and evaluation framework
- A formal meeting with the HA Challenge to sign off acceptance of the Evaluation Framework Report (EFR1); Evaluation Framework (EF1); Process Evaluation Approach (PEA1); Impact Evaluation Approach (IEA1)
- Periodic ongoing guidance and progress meetings will be established with the Impact and Performance Manager

**Phase 2 – Baseline measurement**

During this Phase a baseline for measuring the impact of the Challenge will be constructed. This Phase will be completed within 6 months after the acceptance of the Evaluation Framework Report (EFR1) and the Evaluation Framework (EF1). There will also be a requirement to engage with the Healthy Ageing Community of Practice (CoP) to introduce the evaluation framework and baseline report and ensure HA Challenge investments are clear on what data they need to provide to the evaluators.

The full requirements of the Baseline Report (BLR2) are set out in Section 3: Suggested Methodology - Developing a baseline

**Deadline:** 6 months after the acceptance

**Deliverables:**

- Full Baseline Report (BLR2) with the baseline measures in relation to all relevant research questions, as outlined in the Evaluation Framework Report (EFR1)
- A knowledge exchange session with the HA challenge community via the Community of practice (CoP 2)

**Processes:**

- Validation workshop(s) (Annex 4 Monitoring and Deliverables) with key Challenge stakeholders to validate proposed baseline measures, report structure and high-level findings
- A formal meeting with the HA Challenge to sign off acceptance of the Full Baseline Report (BLR2)
- Collaboration with the Community of Practice provider to ensure the knowledge exchanges sessions address community needs.
- Periodic ongoing guidance and progress meetings will be established with the Impact and Performance Manager

**Phase 3 – Data collection, analysis and reporting**

Phase 3 includes the main period of data collection, analysis and reporting. In Phase 3 the successful bidder will implement the Evaluation Framework (EF1) developed in Phase 1, including any ongoing survey data collection and analysis to enable a robust assessment of the additional impact of the Challenge on inputs, activities, outputs, outcomes, and impacts. It will be conducted in accordance with the timetable outline in the Evaluation Framework Report (EFR1). There is a requirement to engage with the Healthy Ageing Community of Practice (CoP) to share insights gained throughout the independent evaluation process, including successes and learnings related to the translation or uptake of innovations into practice within the activities.

Phase 3 involves the delivery of 2 reports and 2 knowledge sharing activities:

- Interim Process Evaluation Progress Report (IPEPR3)
- Interim Impact Evaluation Progress Report (IIEPR3)
- CoP 2022 workshop (Annex 4 Monitoring and Deliverables) session – co-produced with the CoP Provider (CoP 3.1)
- CoP 2023 workshop (Annex 4 Monitoring and Deliverables) session – co-produced with the CoP Provider (CoP 3.2)

**Interim Process Evaluation Progress Report (IPEPR3)**

The purpose of the process evaluation is to:

- Assess the delivery approach and structure to understand how it has enabled the HA Challenge to achieve the expected impact by answering but not limited to pre-agreed evaluation questions
- Provide recommendations for ongoing and future improvements.

The report should:

- Assess how the specific delivery approach(es) adopted by the Challenge have enabled the delivery of expected benefits, outcomes and impacts, particularly as many of these are novel and tailored to the HA Challenge (e.g. has this set up enabled it to deliver what it was intended to do?)
- Highlight how specific outputs, outcomes and other benefits from the Challenge were realised as a result of the delivery mechanisms created and adopted
- Assesses how the performance monitoring and benefits realisation enables the delivery of intended benefits
- Explores how the delivery mechanism could be improved for ongoing and future delivery

### **Interim Impact Evaluation Progress Report (IEPR3)**

The purpose of the impact evaluation progress report is to:

- Indicate if the challenge is on track to deliver the expected impacts
- Review the evaluation to date and adjust the approach as necessary in order to deliver the impact evaluation report

The report should:

- Review evidence collected through internal monitoring processes (largely for benefits realisation use) to assess if the challenge is on track for delivering the expected impacts.
- Review and adjust evaluation approach as necessary if required (e.g. if some baseline indicators have become less relevant due to Challenge changes, the approach to evaluation and data to be collected will require adjustment such as additional data collection on different indicators)
- Identify foreseeable issues to evaluation and mitigation strategy

**Timing of report:** Two years following the start of the contract

#### **Deliverables:**

- Interim Process Evaluation Progress Report (IPEPR3)
- Interim Impact Evaluation Progress Report (IIEPR3)
- CoP 2022 knowledge exchange session (CoP 3.1)
- CoP 2023 knowledge exchange session (CoP 3.2)

#### **Processes:**

- Validation workshops (Annex 4 Monitoring and Deliverables) for both reports to present and validate high level findings
- A formal meeting with the HA Challenge to sign off acceptance of the IPEPR and IIEPR reports.
- Collaboration with the Community of Practice provider to ensure the knowledge exchange sessions address community needs.
- Periodic ongoing guidance and progress meetings with the Impact and Performance Manager

### **Phase 4 – Final reporting**

There are three reports due by the end of this phase, these are:

- Final Process Evaluation Report (FPER4)
- Final Impact Evaluation Report (FIER4)

- Follow on Plan (FoP)

### **Final Process Evaluation Report (FPER4)**

The purpose of the final process evaluation report is to:

- Assess the delivery approach and structure to understand how it has enabled the HA Challenge to achieve the expected impact by answering but not limited to pre-agreed evaluation questions
- Document the lessons identified to inform any future waves of funding in the Healthy Ageing domain.

The report should:

- Assess how the specific delivery approach(es) adopted by the Challenge enabled the delivery of expected benefits, outcomes and impacts, particularly as many of these are novel and tailored to the HA Challenge (e.g. has this set up enabled it to deliver what it was intended to do?)
- Highlight how specific outputs, outcomes and other benefits from the Challenge were realised as a result of the delivery mechanisms adopted
- Assesses how the performance monitoring and benefits realisation enabled the delivery of intended benefits

### **Final Impact Evaluation Report (FIER4)**

The final impact evaluation report should include:

- Evidence of outcomes and impacts activities delivered by the completion of Challenge (with thematic findings that address all evaluation questions and grouping by UKRI impact categories, i.e. impacts on knowledge, economic and society, the successful bidder will have a copy of UKRI evaluation framework and value for money assessment where possible), by analysing internal monitoring data collected and primary and secondary research conducted
- Assumptions for the analysis and data collection
- Assessment of the likelihood of achieving the expected impacts in the future beyond the life of the Challenge
- Lessons learnt/ recommendations for future improvement

### **Follow on Plan (FoP) Report**

- A proposed approach for how the evaluation will be completed beyond the life of the programme by considering future data linking, merging and application of similar analysis methods, timing of future evaluation.
- The plan must set out how the methodology used, all data and contact lists will be transferred to the Authority and made available for use by any potential future evaluators.
- This approach should allow continuation by any potential deliverer of evaluation beyond the life of the programme and into a possible Phase 5.

**Timing of report:** 29 March 2024

**Deliverables:**

- Final Impact Evaluation Report (FIER4)
- Final Process Evaluation Report (FPER4)
- Project Completion Questionnaire (PCC)
- Follow on Plan (FoP)

## **Processes:**

- Validation workshops (Annex 4 Monitoring and Deliverables) for the two Final reports to present and validate high level findings with stakeholders
- A formal meeting with the HA Challenge to sign off acceptance of both the Final Impact Evaluation Report (FIER4) and the Final Process Evaluation Report (FPER4)
- Periodic ongoing guidance and progress meetings will be established with the Impact and Performance Manager

At the end of EACH Phase of the evaluation, all datasets provided, compiled, or used, along with all analysis and reporting relating to them, must be provided to UKRI with unique business identifiers for potential further matching in a convenient format and handed over in full, either to UKRI or another contractor, as appropriate. The bidders will also need to make available all the code used in econometric and survey data analysis. Proposals must state how this will be achieved, including how any data protection issues will be resolved.

It should be noted that, as the Challenge is being delivered, changes to the Challenge delivery plan may affect the design and delivery of evaluation. Hence bidders should allow for flexibility in the design and delivery of evaluation to ensure the evaluation remains appropriate for the Challenge.

As the HA Challenge is part of a wider ISCF Portfolio of activities and may require evaluation beyond the life of the Challenge, the successful bidder's **Follow on Plan (FoP)** must allow for future continuation of their work. This includes the provision of the methodology used, all data and contact lists to any potential future evaluators.

All data collected during the course of evaluation must be made available, on request, to contracting organisations or third parties under contract to them, for the purposes of additional research and evaluation. Data from Challenge participants must be collected in such a way to enable this to happen. Proposals must clearly state how this will be achieved and any limitations to data sharing which may exist.

## **Terms and Conditions**

Bidders are to note that any requested modifications to the Contracting Authority Terms and Conditions on the grounds of statutory and legal matters only, shall be raised as a formal clarification during the permitted clarification period.



## Annex 2 - Deliverables

<b>Phased deliverables table</b>			
<b>Phase 1-4</b>	<b>Duration</b>	<b>Deliverable</b>	<b>Description &amp; Deadline</b>
1. Evaluation Framework Development -	By the end of the first four months of the contract (start August 2020) (est. November -December 2020)  <b>August – December 2020 (5 months)</b>	Evaluation Framework (EFR1)	A graphic representation outlining the Evaluation Framework (EF1)
		Evaluation Framework Report (EFR1)	The Report that accompanies the above Evaluation Framework Report (EFR1) setting out the
		Process Evaluation Approach (PEA1)	Detailed proposals setting out the approach and plan for delivering the process evaluation
		Impact Evaluation Approach (IEA1)	Detailed proposals setting out the approach and plan for delivering the impact evaluation
2. Baseline measurement -	Completed within 6 months after the acceptance of the Evaluation Framework Report (EFR1) and the Evaluation Framework (EF1) (est. June – July 2021)  <b>January – June 2021 (6</b>	Full Baseline Report (BLR2)	Report setting out the baseline measures in relation to all relevant research questions, as outlined in the Evaluation Framework Report (EFR1)
		CoP Knowledge Exchange Session (CoP2)	A knowledge exchange workshop in 2021 with the HA challenge community co-produced with the Community of Practice

	<b>months)</b>		
3. Data collection, analysis and interim reporting	Two years following the start of the contract (est. August – September 2022)  <b>July 2021 – August 2022 (13 months)</b>	Interim Impact Evaluation Progress Report (IIEPR3)	Report setting out the interim results of the impact evaluation including survey data and analysis to enable a robust assessment progress and identify any changes recommended.
		Interim Process Evaluation Progress Report (IPEPR3)	A report on the implementation process with recommendations for how the ongoing conduct of the Healthy Ageing Challenge could be improved.
		CoP Knowledge Exchange Session (CoP3.1)	A knowledge exchange workshop in 2022 with the HA challenge community co-produced with the Community of Practice
		CoP Knowledge Exchange Session (CoP3.2)	A knowledge exchange workshop in 2023 with the HA challenge community co-produced with the Community of Practice
4. Final reporting	<b>29 March 2024</b>  <b>September 2022 – March 2024 (18 months)</b>	Final Impact Evaluation Report (FIER4)	
		Final Process Evaluation Report	
		Project Completion Questionnaire (PCC)	
		Follow on plan (FoP)	

### Annex 3 - Proposed Indicative Measures

Outcomes		Metric	Data Gatherer(s)	Data Source	Aligned Benefit
O-01	Adoption newly developed affordable, attractive integrated product and service at scale	Number of new or repurposed goods, services, products or widgets to the marketplace	Monitoring Officers (MO)	Customer sales	HA01 HA02
		Affordability testing with customer data profiling and Registrar General's Social Class or other more appropriate measure	Tested by Project (P) (with Challenge Evaluator (CE))	Registrar General's Social Class or other Segmentation Index)	HA01 HA02
		Attractiveness measures from market segmentation and 'Choice' or 'Utility' Theory	Test by Project (with CE)	Market testing via Focus Groups	

					HA01 HA02
O-02	New markets for ageing publics created	Number of new or repurposed goods, services, products or widgets to the marketplace	MO/P/CE	Customer sales  Geodemographic and Local Economic Partnerships	HA01
O-03	Broaden existing markets to include disadvantaged/marginalised communities	Market value analysis Measures of deprivation	MO/P/CE	Customer sales postcode data matched to Output Area Classification (OAC) or other geodemographics  Index of Multiple	HA01 HA03 HA04

				Deprivation	
O-04	A cohort of investors with an interest in investing in HA tech, services, products and business models. catalysing Increased investment into businesses.	Number of investors	MO	Project	HA03 HA04 HA05
O-05	Ecosystem of Start Ups expanded or formed	Number of Ecosystems and their parts	MO?/P?/CE	Ecosystem Theory or Structures? (CE)	HA03 HA04
O-06	New research funded	New research Number of new papers	KTN	KTN Data	H05
<b>O-07</b>	Increased demand for HA domain researchers	Number of posts	ERSC, KTN		HA05 HA06
<b>O-08</b>	Increased citations on publications of HA domain research	Number of citations Literature review	KTN, CE	Peer Journals	HA05 HA06

<b>O-09</b>	New knowledge used by sectors and business	Numbers using new knowledge	KTN	KTN Data	HA06
<b>O-10</b>	Capacity -Increased co-production and inclusive design skills	Number of co-production collaborations	Insights Team ERSC		HA06

<b>Main Benefit</b>		<b>Metric</b>	<b>Data Gatherer</b>	<b>Data Source</b>	<b>Aligned Objective</b>
<b>B-01</b>	Increased UK Jobs in the Healthy Ageing domain.	Number: Number of jobs	MO/CE	MO meetings, Scorecard, PCF	HA05, HA 04
<b>B-02</b>	Increased Revenues	Percentage: Increase in revenues	MO/CE	MO meetings, Scorecard, PCF	HA 01
<b>B-03</b>	Social Impact	Various (likely to have a narrative component)	MO/CE		HA-02
<b>B-04</b>	Deal Flow	Quantity (number per year)	MO/CE	Investor Partners, Evaluator Interviews	HA 03
		Value (total value per year)	MO/CE	Investor Partners, Evaluator Interviews	HA 03

		Follow On Funding (total value per year)	MO/CE	Investor Partners, Evaluator Interviews	HA 03
<b>B-05</b>	New IP	Number of XXX	MO/CE	Interviews	HA-04
<b>B-06</b>	Increased Healthy Ageing related research posts	Number of posts	KTN		HA-06, HA-04, HA-05
<b>B-07</b>	Increased high impact publication in journals	Citations	ESRC	ResearchFish	HA-05
<b>B-08</b>	Increased uptake of KTP posts	Number of posts	CE	Universities	HA-06

## Annex 4 - Monitoring and Management Information

<b>PHASE 1: August 2020 – December 2020</b> <i>Evaluation Framework Development</i>			
<b>Phase</b>	<b>Delivery period</b>	<b>Item</b>	<b>Comments</b>
		Workshop (Inception) Formal Meeting Management Information CoP Knowledge Exchange session Validation workshop	
Phase 1	August 2020 – December 2020	Workshop (Inception)	Workshop with key HA Challenge stakeholders
Phase 1	Quarterly	Management Information	Progress updates on the evaluation process and a summary presentation of key findings and messages to date with the: <ul style="list-style-type: none"> <li>• <b>Impact and Performance Manager</b></li> <li>• <b>Other HA Challenge Team members</b></li> </ul>
Phase 1	August 2020 – December 2020	Validation workshop	<b>Key HA Challenge stakeholders to validate</b> proposed: <ul style="list-style-type: none"> <li>• <b>Evaluation Framework Report (EFR1)</b></li> <li>• <b>Evaluation Framework (EF1)</b></li> <li>• <b>Process Evaluation Approach (PEA1)</b></li> <li>• <b>Impact Evaluation Approach (IEA1)</b></li> </ul>

Phase 1	December 2020	Formal meeting	<p>A formal meeting with the HA Challenge to sign off acceptance of the:</p> <ul style="list-style-type: none"> <li>• <b>Evaluation Framework Report (EFR1)</b></li> <li>• <b>Evaluation Framework (EF1)</b></li> <li>• <b>Process Evaluation Approach (PEA1)</b></li> <li>• <b>Impact Evaluation Approach (IEA1)</b></li> </ul>

<b>PHASE 2: January 2021 – June 2021</b>			
Baseline measurement			
<b>Phase</b>	<b>Delivery period</b>	<b>Item</b>	<b>Comments</b>
		Formal Meeting Management Information CoP Knowledge Exchange Session Validation workshop	
Phase 2	January 2021 – June 2021 <b>(CoP 2021)</b>	CoP Knowledge Exchange Session <b>(CoP 2)</b>	CoP Knowledge Exchange Session <b>(CoP 2)</b> provider to ensure the knowledge exchanges sessions address community needs
Phase 2	Quarterly	Management Information	Progress updates on the evaluation process and a summary presentation of key findings and messages to date with the: <ul style="list-style-type: none"> <li>• <b>Impact and Performance Manager</b></li> <li>• <b>Other HA Challenge Team members</b></li> </ul>
Phase 2	January 2021 – June 2021	Validation workshop	<b>Key HA Challenge stakeholders to validate</b> proposed: <ul style="list-style-type: none"> <li>• <b>Baseline Report (BLR2)</b></li> </ul>
Phase 2	June 2021	Formal meeting	A formal meeting with the HA Challenge to sign off acceptance of the: <ul style="list-style-type: none"> <li>• <b>Baseline Report (BLR2)</b></li> </ul>

### PHASE 3: July 2021 – August 2023

*Data collection, analysis and interim reporting*

Phase	Delivery period	Item	Comments
		Formal Meeting Management Information CoP Knowledge Exchange Session Validation workshop	
Phase 3	July 2021 – August 2023 <b>CoP 2022</b>	CoP Knowledge Exchange Session <b>(CoP 3.1)</b>	CoP Knowledge Exchange Session <b>(CoP 3.1)</b> provider to ensure the knowledge exchanges sessions address community needs
Phase 3	July 2021 – August 2023 <b>CoP 2023</b>	CoP Knowledge Exchange Session <b>(CoP 3.2)</b>	CoP Knowledge Exchange Session <b>(CoP 3.2)</b> provider to ensure the knowledge exchanges sessions address community needs
Phase 3	Quarterly	Management Information	Progress updates on the evaluation process and a summary presentation of key findings and messages to date with the: <ul style="list-style-type: none"> <li>• <b>Impact and Performance Manager</b></li> <li>• <b>Other HA Challenge Team members</b></li> </ul>
Phase 3	July 2021 – August 2023	Validation workshop	<b>Key HA Challenge stakeholders to validate</b> proposed the two Interim reports: <ul style="list-style-type: none"> <li>• <b>Interim Process Evaluation Progress Report (IPEPR3)</b></li> <li>• <b>Interim Impact Evaluation Progress Report (IEPR3)</b></li> </ul>
Phase 3	<i>January 2023??</i>	Formal meeting	A formal meeting with the HA Challenge to sign off acceptance off:

			<ul style="list-style-type: none"><li>• <b>Interim Process Evaluation Progress Report (IPEPR3)</b></li><li>• <b>Interim Impact Evaluation Progress Report (IEPR3)</b></li></ul>
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**PHASE 4: September 2023 – March 2024***Final reporting*

<b>Phase</b>	<b>Delivery period</b>	<b>Item</b>	<b>Comments</b>
		Workshop Formal Meeting Management Information CoP Knowledge Exchange Session Validation workshop	
Phase 4	Quarterly	Management Information	Progress updates on the evaluation process and a summary presentation of key findings and messages to date with the: <ul style="list-style-type: none"><li>• <b>Impact and Performance Manager</b></li><li>• <b>Other HA Challenge Team members</b></li></ul>
Phase 4	September 2023 – March 2024	Validation workshop	<b>Key HA Challenge stakeholders to validate</b> proposed the two Final reports: <ul style="list-style-type: none"><li>• <b>Final Impact Evaluation Report (FIER4)</b></li><li>• <b>Final Process Evaluation Report (FPER4)</b></li></ul>
Phase 4	September 2023 – March 2024	Formal meeting	A formal meeting with the HA Challenge to sign off acceptance of both the: <ul style="list-style-type: none"><li>• <b>Final Impact Evaluation Report (FIER4)</b></li><li>• <b>Final Process Evaluation Report (FPER4)</b></li></ul>

## Section 5 – Evaluation model

### 5.1. Introduction

- 5.1.1. The evaluation process will be conducted to ensure that Bids are evaluated fairly to ascertain the bidders who can demonstrate the required skills qualities, technical ability and capacity, commercial stability and experience to ensure successful performance of the Contract.
- 5.1.2. The evaluation team may comprise staff from UK SBS and the Contracting Authority, and any specific external stakeholders the Contracting Authority deem required

### 5.2. Evaluation of Bids

- 5.2.1. Evaluation of Bids shall be based on a Selection questionnaire and Award criteria as clearly defined in the e-sourcing tool.

### 5.3. SELECTION questionnaire

- 5.3.1. The Selection questionnaire shall be marked against the following Selection pass / fail and scoring criteria.
- 5.3.2. The selection questionnaire shall be marked against the following Mandatory or discretionary pass / fail criteria.

Selection Pass/fail criteria		
Questionnaire	Q No.	Question subject
<b>Selection Questionnaire Part 1: Potential Supplier Information</b>		
Section 1	1.3	Contact details and declaration
<b>Part 2: Exclusion Grounds</b>		
Section 2	2.1 (a)(i)	Participation in a criminal organisation
Section 2	2.1(a)(ii)	Corruption
Section 2	2.1(a)(iii)	Fraud
Section 2	2.1(a)(iv)	Terrorist Offences or offences link to terrorist activities
Section 2	2.1(a)(v)	Money laundering or Terrorist financing
Section 2	2.1(a)(vi)	Child Labour and other forms of trafficking in human beings
Section 2	2.2	Self cleaning
Section 2	2.3(a)	Payment of tax or social security
Section 3	3.1 (a)	Breach of environmental obligations
Section 3	3.1 (b)	Breach of social obligations
Section 3	3.1 (c)	Breach of labour law obligations
Section 3	3.1(d)	Bankruptcy
Section 3	3.1(e)	Guilty of grave professional misconduct
Section 3	3.1(f)	Distorting competition
Section 3	3.1(g)	Conflict of Interest
Section 3	3.1(h)	Prior involvement in procurement process

Section 3	3.1(i)	Prior performance of contract
Section 3	3.1(j)(i)	Serious Misrepresentation
Section 3	3.1(j)(ii)	Withholding information
Section 3	3.1(j)(iii)	Unable to provide supporting documentation for ESPD
Section 3	3.1(j)(iv)	Influenced the decision-making process
<b>Part 3: Selection Questions</b>		
Section 4	4.1	Audited accounts
Section 4	4.2	Minimum financial threshold
Section 5	5.1	Wider group
Section 5	5.2	Parent Company Guarantee
Section 5	5.3	Other Guarantee
Section 6	6.1	Relevant experience and contract examples
Section 7	7.1	Compliance under Modern Slavery Act 2015
Section 8	8.1(a)	Insurance
Section 9	9.2	Systems to manage supply chain
Section 9	9.3	Procedures for resolving disputes
Section 9	9.5	Meeting the requirements of the code/standards
Section 9	9.6	Confirmation of 30 days payment
Section 9	9.7	Payments to supply chain
Section 9	SEL5.5	Health and Safety Policy
Section 9	SEL5.6	Enforcement/remedial orders in relation to the Health and Safety Executive
Section 9	SEL5.7	Breaching environmental legislation
Section 9	SEL5.8	Checking sub-contractors for infringement of environmental legislation
Section 9	SEL5.9	Unlawful discrimination
Section 9	SEL5.10	Checking sub-contractors for unlawful discrimination
Section 9	SEL 2.10	Cyber essentials
Section 9	SEL2.12	General Data Protection Regulation (GDPR) Act and Data Protection Act 2018
Section 9	FOI1.1	Freedom of information
	In the event of a Bidder failing to meet the requirements of a Mandatory pass / fail criteria, the Contracting Authority reserves the right to disqualify the Bidder and not consider evaluation of the any of the selection stage scoring methodology, nor the Award stage scoring methodology or Mandatory pass / fail criteria.	

- 5.3.3. Each Mandatory pass / fail question includes a clear definition of the requirements of a successful response to the question.
- 5.3.4. The evaluation model below shall be used for this RFP which will be determined to two decimal places.
- 5.3.5. Questions marked 'for information only' do not contribute to the scoring model.

## Selection Evaluation of criteria

Each question will be judged on a score from 0 to 100, which shall be subjected to a multiplier to reflect the percentage of the evaluation criteria allocated to that question.

Where an evaluation criterion is worth 20% then the 0-100 score achieved will be multiplied by 20.

Where an evaluation criterion is worth 20% then the 0-100 score achieved will be multiplied by 20%.

Example if a Bidder scores 60 from the available 100 points this will equate to 12% by using the following calculation:

$$\text{Score} = \{\text{weighting percentage}\} \times \{\text{bidder's score}\} = 20\% \times 60 = 12$$

The same logic will be applied to groups of questions which equate to a single evaluation criterion.

The 0-100 score shall be based on (unless otherwise stated within the question):

0	The Question is not answered, or the response is completely unacceptable.
10	Extremely poor response – they have completely missed the point of the question.
20	Very poor response and not wholly acceptable. Requires major revision to the response to make it acceptable. Only partially answers the requirement, with major deficiencies and little relevant detail proposed.
40	Poor response only partially satisfying the selection question requirements with deficiencies apparent. Some useful evidence provided but response falls well short of expectations. Low probability of being a capable supplier.
60	Response is acceptable but remains basic and could have been expanded upon. Response is sufficient but does not inspire.
80	Good response which describes their capabilities in detail which provides high levels of assurance consistent with a quality provider. The response includes a full description of techniques and measurements currently employed.
100	Response is exceptional and clearly demonstrates they are capable of meeting the requirement. No significant weaknesses noted. The response is compelling in its description of techniques and measurements currently employed, providing full assurance consistent with a quality provider.

All questions will be scored based on the above mechanism. Please be aware that there may be multiple evaluators. If so, their individual scores will be averaged (mean) to determine your final score as follows:

**Example**

Evaluator 1 scored your bid as 60  
 Evaluator 2 scored your bid as 60  
 Evaluator 3 scored your bid as 40  
 Evaluator 4 scored your bid as 40  
 Your final score will  $(60+60+40+40) \div 4 = 50$

5.3.6. During the evaluation stage, the intention is that only Bidders who achieve a Pass of all the Mandatory and Discretionary requirements of the RFP will be considered for award stage evaluation.

#### 5.4. AWARD questionnaire

- 5.4.1. The award questionnaire shall be marked against the following Mandatory or discretionary pass / fail criteria. Each Mandatory pass / fail question includes a clear definition of the requirements of a successful response to the question.

<b>Award Pass/fail criteria</b>		
<b>Questionnaire</b>	<b>Q No.</b>	<b>Question subject</b>
Commercial	AW1.1	Form of Bid
Commercial	AW1.2	Bid validity period
Commercial	AW1.3	Certificate of bona fide Bid
Commercial	AW4.1	Compliance to the Contract Terms
Commercial	AW4.2	Changes to the Contract Terms
Price	AW5.1	Firm and fixed price
Price	AW5.3	Maximum Budget
Commercial	AW5.4	E Invoice
Commercial	AW5.5	E Invoice implementation
Quality	AW6.1	Compliance to the Specification
Quality	AW6.2	Variable Bids
Quality	PROJ1.7	Capacity
-	-	Request for Proposal response – received on time within the e-sourcing tool
	In the event of a Bidder failing to meet the requirements of a Mandatory pass / fail criteria, the Contracting Authority reserves the right to disqualify the Bidder and not consider evaluation of the any of the selection stage scoring methodology, nor the Award stage scoring methodology or Mandatory pass / fail criteria.	

- 5.4.2. The Award stage of due process shall be marked against the following Award scoring criteria.

- 5.4.3. The evaluation model below shall be used for this RFP which will be determined to two decimal places.

- 5.4.4. Questions marked 'for information only' do not contribute to the scoring model.

<b>Award Scoring criteria</b>			
<b>Evaluation Justification Statement</b>			
In consideration of this particular requirement the Contracting Authority has decided to evaluate Potential Providers by adopting the weightings/scoring mechanism detailed within this RFP. The Contracting Authority considers these weightings to be in line with existing best practice for a requirement of this type.			
<b>Questionnaire</b>	<b>Q No.</b>	<b>Question subject</b>	<b>Maximum Marks</b>
Price	AW5.2	Price	10%
Quality	PROJ1.1	Approach	30%

Quality	PROJ1.2	Staff to Deliver	15%
Quality	PROJ1.3	Understanding the Healthy Ageing Landscape and Environment	20%
Quality	PROJ1.4	Project Plan and Timescales	15%
Quality	PROJ1.5	Monitoring and Learning	5%
Quality	PROJ1.6	Risk Management	5%

## Award Evaluation of criteria

### Non-Price elements

Each question will be evaluated on a score from 0 to 100, which shall be subjected to a multiplier to reflect the percentage of the evaluation criteria allocated to that question.

Where an evaluation criterion is worth 20% then the 0-100 score achieved will be multiplied by 20%.

Example if a Bidder scores 60 from the available 100 points this will equate to 12% by using the following calculation:

$$\text{Score} = \{\text{weighting percentage}\} \times \{\text{bidder's score}\} = 20\% \times 60 = 12$$

The same logic will be applied to groups of questions which equate to a single evaluation criterion.

The 0-100 score shall be based on (unless otherwise stated within the question):

0	The Question is not answered, or the response is completely unacceptable.
10	Extremely poor response – they have completely missed the point of the question.
20	Very poor response and not wholly acceptable. Requires major revision to the response to make it acceptable. Only partially answers the requirement, with major deficiencies and little relevant detail proposed.
40	Poor response only partially satisfying the selection question requirements with deficiencies apparent. Some useful evidence provided but response falls well short of expectations. Low probability of being a capable supplier.
60	Response is acceptable but remains basic and could have been expanded upon. Response is sufficient but does not inspire.
80	Good response which describes their capabilities in detail which provides high levels of assurance consistent with a quality provider. The response includes a full description of techniques and measurements currently employed.
100	Response is exceptional and clearly demonstrates they are capable of meeting the requirement. No significant weaknesses noted. The response is compelling in its description of techniques and measurements currently employed, providing full assurance consistent with a quality provider.

All questions will be scored based on the above mechanism. Please be aware that there may be multiple evaluators. If so, their individual scores will be averaged (mean) to determine your final score as follows:

### Example

Evaluator 1 scored your bid as 60

Evaluator 2 scored your bid as 40

Evaluator 3 scored your bid as 80  
 Evaluator 4 scored your bid as 60  
 Your final score will  $(60+40+80+60) \div 4 = 60$

**Price elements** will be evaluated on the following criteria.

The lowest price for a response which meets the pass criteria shall score 100.

All other bids shall be scored on a pro rata basis in relation to the lowest price. The score is then subject to a multiplier to reflect the percentage value of the price criterion.

For example - Bid 1 £100,000 scores 100.

Bid 2 £120,000 differential of £20,000 or 20% remove 20% from price scores 80

Bid 3 £150,000 differential £50,000 remove 50% from price scores 50.

Bid 4 £175,000 differential £75,000 remove 75% from price scores 25.

Bid 5 £200,000 differential £100,000 remove 100% from price scores 0.

Bid 6 £300,000 differential £200,000 remove 100% from price scores 0.

Where the scoring criterion is worth 50% then the 0-100 score achieved will be multiplied by 50

In the example if a supplier scores 80 from the available 100 points this will equate to 40% by using the following calculation:  $\text{Score/Total Points} \times 50$  ( $80/100 \times 50 = 40$ )

The lowest score possible is 0 even if the price submitted is more than 100% greater than the lowest price.

## 5.5. Evaluation process

5.5.1. The evaluation process will feature some, if not all, the following phases

Stage	Summary of activity
Receipt and Opening	<ul style="list-style-type: none"> <li>RFP logged upon opening in alignment with UK SBS's procurement procedures.</li> <li>Any RFP Bid received after the closing date will be rejected unless circumstances attributed to the Contracting Authority or the e-sourcing tool beyond the bidder control are responsible for late submission.</li> </ul>
Compliance check	<ul style="list-style-type: none"> <li>Check all Mandatory requirements are acceptable to the Contracting Authority.</li> <li>Unacceptable Bids maybe subject to clarification by the Contracting Authority or rejection of the Bid.</li> </ul>
Scoring of the Bid	<ul style="list-style-type: none"> <li>Evaluation team will independently score the Bid and provide a commentary of their scoring justification against the Selection criteria.</li> </ul>
Clarifications	<ul style="list-style-type: none"> <li>The Evaluation team may require written clarification to Bids</li> </ul>
Re - scoring of the Bid and Clarifications	<ul style="list-style-type: none"> <li>Following Clarification responses, the Evaluation team reserve the right to independently re-score the Bid and Clarifications and provide a commentary of their re-scoring justification against the Selection criteria.</li> </ul>
Validation of unsuccessful Bidders	<ul style="list-style-type: none"> <li>To confirm contents of the letters to provide details of scoring and relative feedback on the unsuccessful Bidders Bid in comparison with the successful Bidders Bid.</li> </ul>

## **Section 6 – Selection and award questionnaires**

### **Section 6 – Selection questionnaire**

#### **6.1. Introduction**

The Selection questionnaires are located in the within the e-sourcing tool.

Guidance on completion of the questions are is available at  
<http://www.ukpbs.co.uk/services/procure/Pages/supplier.aspx>

**PLEASE NOTE THE QUESTIONS ARE NOT NUMBERED SEQUENTIALLY**

## Section 6 – Award questionnaire

- 6.2. The Award questionnaires are located within the e-sourcing tool.
- 6.3. Guidance on completion of the questions is available at <http://www.uksbs.co.uk/services/procure/Pages/supplier.aspx>

**PLEASE NOTE THE QUESTIONS ARE NOT NUMBERED SEQUENTIALLY**

## Section 7 – General information

### 7.1. Introduction

- 7.1.1. The Contracting Authority wishes to establish a Contract for the provision of ISCF Healthy Ageing Challenge: Evaluation. The Contracting Authority is managing this procurement process in accordance with the Public Contracts Regulations 2015 (as may be amended from time to time) (the “Regulations”). This is a service being procured under the OJEU Open Procedure
- 7.1.2. The Contracting Authority is procuring the Contract for add for its exclusive use.
- 7.1.3. UK SBS and the Contracting Authority logo, trademarks and other identifying marks are proprietary and may not be incorporated in the Companies response without or the Contracting Authority’s written permission.
- 7.1.4. The Bidder shall indemnify and keep indemnified UK SBS and the Contracting Authority against all actions, claims, demands, proceedings, damages, costs, losses, charges and expenses whatsoever in respect of any breach by the Bidder of this document.
- 7.1.5. If there is any doubt with regard to the ambiguity of any question or content contained in this questionnaire then PLEASE ASK a clarification question, but please ensure that your question is via the formal clarification process in writing to the UK SBS representative nominated. No approach of any kind in connection with this opportunity should be made to any other person within or associated with UK SBS or the Contracting Authority. All information secured outside of this named contact shall have no legal standing or worth and should not be relied upon.
- 7.1.6. It remains the responsibility of the Bidder to keep UK SBS and the Contracting Authority informed of any matter that may affect continued qualification
- 7.1.7. Prior to commencing formal evaluation, Submitted Responses will be checked to ensure they are fully compliant with the Pass / Fail criteria within the Evaluation model. Non-compliant Submitted Responses may be rejected by the Contracting Authority. Submitted Responses which are deemed by the Contracting Authority to be fully compliant will proceed to evaluation. These will be evaluated using the criteria and scores detailed in the matrix set out in [Section 5](#).
- 7.1.8. Whilst it is the Contracting Authority’s intention to purchase the majority of its services under this Contract Arrangement from the Supplier(s) appointed this does not confer any exclusivity on the appointed Suppliers. The Contracting Authority and any relevant Other Public Bodies reserve the right to purchase any services and services (including those similar to the services covered by this procurement) from any Supplier outside of this Contract.
- 7.1.9. The Contracting Authority reserves the right not to conclude a Contract as a result of the current procurement process. Bidders should review the contents of Section 7 paragraph 7.8.1 when considering submitting their Response.
- 7.1.10. The services by this procurement exercise have NOT been sub-divided into Lots.
- 7.1.11. The Contracting Authority shall utilise the Delta eSourcing Procurement Tool available at <https://uksbs.delta-esourcing.com/> to conduct this procurement. There

will be no electronic auction following the conclusion of the evaluation of the Request for Proposal (RFP) responses. Bidders will be specifically advised where attachments are permissible to support a question response within the e-sourcing tool. All enquiries with respect to problems or functionality within the tool may be submitted to Delta eSourcing on 0845 270 7050

- 7.1.12. Please utilise the messaging system within the e-sourcing tool located at <https://uksbs.delta-esourcing.com/> within the timescales detailed in [Section 3](#). if you have any doubt as to what is required or will have difficulty in providing the information requested. Bidders should note that any requests for clarifications may not be considered by the Contracting Authority if they are not articulated by the Bidder within the discussion forum within the e-sourcing tool.
- 7.1.13. Bidders should read this document, Stage One: Overview Section. messages and the evaluation questionnaires carefully before completing the Response submission. Failure to comply with any of these instructions for completion and submission of the Submitted Response may result in the rejection of the Response. Bidders are advised therefore to acquaint themselves fully with the extent and nature of the services and contractual obligations. These instructions constitute the Conditions of Response. Participation in the RFP process automatically signals that the Bidder accepts these Conditions.
- 7.1.14. All material issued in connection with this RFP shall remain the property of the Contracting Authority and/or as applicable relevant OPB and shall be used only for the purpose of this procurement. All Due Diligence Information shall be either returned to the Contracting Authority or securely destroyed by the Bidder (at the Contracting Authority's option) at the conclusion of the procurement
- 7.1.15. The Bidder shall ensure that each and every sub-contractor, consortium member and adviser abide by the terms of these instructions and the Conditions of Response.
- 7.1.16. The Bidder shall not make contact with any other employee, agent or consultant of UK SBS or the Contracting Authority or any relevant OPB or Customer who are in any way connected with this procurement during the period of this procurement, unless instructed otherwise by the Contracting Authority.
- 7.1.17. The Contracting Authority shall not be committed to any course of action as a result of:
  - 7.1.17.1. issuing this RFP or any invitation to participate in this procurement ;
  - 7.1.17.2. an invitation to submit any Response in respect of this procurement;
  - 7.1.17.3. communicating with a Bidder or a Bidder's representatives or agents in respect of this procurement; or
  - 7.1.17.4. any other communication between UK SBS, the Contracting Authority and/or any relevant OPB (whether directly or by its agents or representatives) and any other party.
- 7.1.18. Bidders shall accept and acknowledge that by issuing this RFP the Contracting Authority shall not be bound to accept any Response and reserves the right not to conclude a Contract for some or all of the services for which Responses are invited.
- 7.1.19. The Contracting Authority reserves the right to amend, add to or withdraw all or any part of this RFP at any time during the procurement.
- 7.1.20. Bidders should not include in the Response any extraneous information which has not been specifically requested in the RFP including, for example, any sales

literature, standard terms of trading etc. Any such information not requested but provided by the Bidder shall not be considered by the Contracting Authority.

- 7.1.21. If the Bidder is a consortium, the following information must be provided: full details of the consortium; and the information sought in this RFP in respect of each of the consortium's constituent members as part of a single composite response. Potential Providers should provide details of the actual or proposed percentage shareholding of the constituent members within the consortium as indicated in the relevant section of the selection questionnaire SEL1.9 specifically refers. If a consortium is not proposing to form a corporate entity, full details of alternative proposed arrangements should be provided as indicated in the relevant section of the RFP. However, please note the Contracting Authority reserves the right to require a successful consortium to form a single legal entity in accordance with regulation 19(6) of the Regulations. The Contracting Authority recognises that arrangements in relation to consortia may (within limits) be subject to future change. Potential Providers should therefore respond in the light of the arrangements as currently envisaged. Potential Providers are reminded that any future proposed change in relation to consortia must be notified to the Contracting Authority so that it can make a further assessment by applying the selection criteria to the new information provided and consider rejection of the Response if the Contracting Authority reasonably consider the change to have a material impact of the delivery of the viability of the Response.

## **7.2. Confidentiality**

- 7.2.1. Subject to the exceptions referred to in paragraph 7.3.2, the contents of this RFP are being made available by the Contracting Authority on condition that:
- 7.2.1.1. Bidders shall at all times treat the contents of the RFP and any related documents (together called the 'Information') as confidential, save in so far as they are already in the public domain;
  - 7.2.1.2. Bidders shall not disclose, copy, reproduce, distribute or pass any of the Information to any other person at any time or allow any of these things to happen;
  - 7.2.1.3. Bidders shall not use any of the Information for any purpose other than for the purposes of submitting (or deciding whether to submit) a Response; and
  - 7.2.1.4. Bidders shall not undertake any publicity activity within any section of the media in relation to this procurement
- 7.2.2. Bidders may disclose, distribute or pass any of the Information to the Bidder's advisers, sub-contractors or to another person provided that either:
- 7.2.2.1. This is done for the sole purpose of enabling a Response to be submitted and the person receiving the Information undertakes in writing to keep the Information confidential on the same terms as if that person were the Bidder; or
  - 7.2.2.2. The disclosure is made for the sole purpose of obtaining legal advice from external lawyers in relation to the procurement or to any Contract arising from it; or
  - 7.2.2.3. The Bidder is legally required to make such a disclosure
- 7.2.3. In paragraphs 7.3.1 and 7.3.2 above the term 'person' includes but is not limited to any person, firm, body or association, corporate or incorporate.
- 7.2.4. UK SBS and the Contracting Authority may disclose detailed information relating to Responses to its employees, agents or advisers and they may make any of the

Contract documents available for private inspection by its officers, employees, agents or advisers. UK SBS and the Contracting Authority also reserve the right to disseminate information that is materially relevant to the procurement to all Bidders, even if the information has only been requested by one Bidder, subject to the duty to protect each Bidder's commercial confidentiality in relation to its Response (unless there is a requirement for disclosure as explained in paragraphs 7.4.1 to 7.4.3 below).

- 7.2.5. All Central Government Departments and their Executive Agencies and Non-Departmental Public Bodies are subject to control and reporting within Government. In particular, they report to the Cabinet Office and HM Treasury for all expenditure. Further, the Cabinet Office has a cross-Government role delivering overall Government policy on public procurement - including ensuring value for money and related aspects of good procurement practice.

For these purposes, the Contracting Authority may disclose within Government any of the Bidders documentation/information (including any that the Bidder considers to be confidential and/or commercially sensitive such as specific bid information) submitted by the Bidder to the Contracting Authority during this Procurement. Subject to section 7.4 below, the information will not be disclosed outside Government. Bidders taking part in this RFP consent to these terms as part of the competition process.

- 7.2.6. The Government introduced its new Government Security Classifications ("GSC") classification scheme to replace the current Government Protective Marking System ("GPMS"). A key aspect of this is the reduction in the number of security classifications used. All Bidders are encouraged to make themselves aware of the changes and identify any potential impacts in their Bid, as the protective marking and applicable protection of any material passed to, or generated by, you during the procurement process or pursuant to any Contract awarded to you as a result of this tender process will be subject to the new GSC from 2nd April 2014. The link below to the Gov.uk website provides information on the new GSC:

<https://www.gov.uk/government/publications/government-security-classifications>

- 7.2.7. The Contracting Authority reserves the right to amend any security related term or condition of the draft contract accompanying this RFP to reflect any changes introduced by the GSC. In particular where this RFP is accompanied by any instructions on safeguarding classified information (e.g. a Security Aspects Letter) as a result of any changes stemming from the new GSC, whether in respect of the applicable protective marking scheme, specific protective markings given, the aspects to which any protective marking applies or otherwise. This may relate to the instructions on safeguarding classified information (e.g. a Security Aspects Letter) as they apply to the procurement as they apply to the procurement process and/or any contracts awarded to you as a result of the procurement process.

## USEFUL INFORMATION LINKS

- [Contracts Finder](#)
- [Tenders Electronic Daily](#)
- [Equalities Act introduction](#)
- [Bribery Act introduction](#)
- [Freedom of information Act](#)

## 7.3. Freedom of information

- 7.3.1. In accordance with the obligations and duties placed upon public authorities by the Freedom of Information Act 2000 (the 'FoIA') and the Environmental Information Regulations 2004 (the 'EIR') (each as amended from time to time), UK SBS and the Contracting Authority may be required to disclose information submitted by the Bidder to the to the Contracting Authority.
- 7.3.2. In respect of any information submitted by a Bidder that it considers to be commercially sensitive the Bidder should complete the Freedom of Information declaration question defined in the Question FOI1.2.
- 7.3.3. Where a Bidder identifies information as commercially sensitive, the Contracting Authority will endeavour to maintain confidentiality. Bidders should note, however, that, even where information is identified as commercially sensitive, the Contracting Authority may be required to disclose such information in accordance with the FoIA or the Environmental Information Regulations. In particular, the Contracting Authority is required to form an independent judgment concerning whether the information is exempt from disclosure under the FoIA or the EIR and whether the public interest favours disclosure or not. Accordingly, the Contracting Authority cannot guarantee that any information marked 'confidential' or "commercially sensitive" will not be disclosed.
- 7.3.4. Where a Bidder receives a request for information under the FoIA or the EIR during the procurement, this should be immediately passed on to the Contracting Authority and the Bidder should not attempt to answer the request without first consulting with the Contracting Authority.
- 7.3.5. Bidders are reminded that the Government's transparency agenda requires that sourcing documents, including RFP templates such as this, are published on a designated, publicly searchable web site, and, that the same applies to other sourcing documents issued by the Contracting Authority, and any contract entered into by the Contracting Authority with its preferred supplier once the procurement is complete. By submitting a response to this RFP Bidders are agreeing that their participation and contents of their Response may be made public.

#### **7.4. Response Validity**

- 7.4.1. Your Response should remain open for consideration for a period of 90 days. A Response valid for a shorter period may be rejected.

#### **7.5. Timescales**

- 7.5.1. [Section 3](#) of the RFP sets out the proposed procurement timetable. The Contracting Authority reserves the right to extend the dates and will advise potential Bidders of any change to the dates.

#### **7.6. The Contracting Authority's Contact Details**

- 7.6.1. Unless stated otherwise in these Instructions or in writing from UK SBS or the Contracting Authority, all communications from Bidders (including their sub-contractors, consortium members, consultants and advisers) during the period of this procurement must be directed through the e-sourcing tool to the designated UK SBS contact.

7.6.2. All enquiries with respect to access to the e-sourcing tool may be submitted to Delta eSourcing on 0845 270 7050 please note this is a free self-registration website and this can be done by completing the online questionnaire at <https://uksbs.delta-esourcing.com/>

7.6.3. Bidders should be mindful that the designated Contact should not under any circumstances be sent a copy of their Response outside of the e-sourcing tool. Failure to follow this requirement will result in disqualification of the Response.

## **7.7. Preparation of a Response**

7.7.1. Bidders must obtain for themselves at their own responsibility and expense all information necessary for the preparation of Responses. Bidders are solely responsible for all costs, expenses and other liabilities arising in connection with the preparation and submission of their Response and all other stages of the selection and evaluation process. Under no circumstances will UK SBS or the Contracting Authority, or any of their advisers, be liable for any such costs, expenses or liabilities borne by Bidders or their sub-contractors, suppliers or advisers in this process.

7.7.2. Bidders are required to complete and provide all information required by the Contracting Authority in accordance with the Conditions of Response and the Request for Proposal. Failure to comply with the Conditions and the Request for Proposal may lead the Contracting Authority to reject a Response.

7.7.3. The Contracting Authority relies on Bidders' own analysis and review of information provided. Consequently, Bidders are solely responsible for obtaining the information which they consider is necessary in order to make decisions regarding the content of their Responses and to undertake any investigations they consider necessary in order to verify any information provided to them during the procurement.

7.7.4. Bidders must form their own opinions, making such investigations and taking such advice (including professional advice) as is appropriate, regarding their Responses, without reliance upon any opinion or other information provided by the Contracting Authority or their advisers and representatives. Bidders should notify the Contracting Authority promptly of any perceived ambiguity, inconsistency or omission in this RFP, any of its associated documents and/or any other information issued to them during the procurement.

7.7.5. Bidders must ensure that each response to a question is within any specified word count. Any responses with words in excess of the word count will only be considered up to the point where they meet the word count, any additional words beyond the volume defined in the word count will not be considered by the evaluation panel.

7.7.6. Bidders must ensure that each response to a question is not cross referenced to a response to another question. In the event of a Bidder adding a cross reference it will not be considered in evaluation.

## **7.8. Submission of Responses**

7.8.1. The Response must be submitted as instructed in this document through the e-sourcing tool. Failure to follow the instruction within each Section of this document, to omit responses to any of the questions or to present your response in alignment with any guidance notes provided may render the Response non-compliant and it may be rejected.

- 7.8.2. The Contracting Authority may at its own absolute discretion extend the closing date and the time for receipt of Responses specified [Section 3](#).
- 7.8.3. Any extension to the RFP response period will apply to all Bidders.
- 7.8.4. Any financial data provided must be submitted in or converted into pounds sterling. Where official documents include financial data in a foreign currency, a sterling equivalent must be provided. Failure to adhere to this requirement will result in the Response not being considered.
- 7.8.5. The Contracting Authority do not accept responsibility for the premature opening or mishandling of Responses that are not submitted in accordance with the instructions of this document.
- 7.8.6. The Response and any documents accompanying it must be in the English language
- 7.8.7. Bidders must submit their response through the e-sourcing tool, unless explicitly requested by the Contracting Authority either in the procurement documents or via a formal clarification from the Contracting Authority. Responses received by any other method than requested will not be considered for the opportunity.
- 7.8.8. Responses will be submitted any time up to the date indicated in [Section 3](#). Responses received before this deadline will be retained in a secure environment, unopened until this deadline has passed.
- 7.8.9. Responses received after the date indicated in [Section 3](#) shall not be considered by the Contracting Authority, unless the Bidder can justify that the reason for the delay is solely attributable to the Contracting Authority
- 7.8.9.1. The Bidder must demonstrate irrefutable evidence in writing they have made best endeavours to ensure the Response was received on time and that the issue was beyond their control.
  - 7.8.9.2. Any request for a late Response to be considered must be emailed to the Buyer in [Section 3](#) in advance of 'the deadline' if a bidder believes their Response will be received late.
  - 7.8.9.3. The Contracting Authority reserves the right to accept or reject any late Response without justification to the affected Bidder and make no guarantee it will consider any request for a late Response to be considered.
- 7.8.10. Do not seek changes to the Bid after responses have been submitted and the deadline (date and time) for receipt of responses has passed.

## **7.9. Canvassing**

- 7.9.1. Any Bidder who directly or indirectly canvasses any employee, or agent of UK SBS, the Contracting Authority or its members or any relevant OPB or any of its employees concerning the establishment of the Contract or who directly or indirectly obtains or attempts to obtain information from any such officer, member, employee or agent or concerning any other Bidder, Response or proposed Response will be disqualified.

## **7.10. Disclaimers**

- 7.10.1. Whilst the information in this RFP, Due Diligence Information and supporting documents has been prepared in good faith, it does not purport to be comprehensive nor has it been independently verified.
- 7.10.2. Neither UK SBS, the Contracting Authority, nor any relevant OPB's nor their advisors, nor their respective directors, officers, members, partners, employees, other staff or agents:
- 7.10.2.1. makes any representation or warranty (express or implied) as to the accuracy, reasonableness or completeness of the RFP; or
  - 7.10.2.2. accepts any responsibility for the information contained in the RFP or for their fairness, accuracy or completeness of that information nor shall any of them be liable for any loss or damage (other than in respect of fraudulent misrepresentation) arising as a result of reliance on such information or any subsequent communication.
- 7.10.3. Any persons considering making a decision to enter into contractual relationships with the Contracting Authority and/or, as applicable, relevant OPB following receipt of the RFP should make their own investigations and their own independent assessment of the Contracting Authority and/or, as applicable, relevant OPB and its requirements for the services and should seek their own professional financial and legal advice. For the avoidance of doubt the provision of clarification or further information in relation to the RFP or any other associated documents (including the Schedules) is only authorised to be provided following a query made in accordance with Paragraph 7.15 of this RFP.

## **7.11. Collusive behaviour**

### **7.11.1. Any Bidder who:**

- 7.11.1.1. fixes or adjusts the amount of its Response by or in accordance with any agreement or arrangement with any other party; or
- 7.11.1.2. communicates to any party other than UK SBS, the Contracting Authority or, as applicable, relevant OPB the amount or approximate amount of its proposed Response or information which would enable the amount or approximate amount to be calculated (except where such disclosure is made in confidence in order to obtain quotations necessary for the preparation of the Response or insurance or any necessary security); or
- 7.11.1.3. enters into any agreement or arrangement with any other party that such other party shall refrain from submitting a Response; or
- 7.11.1.4. enters into any agreement or arrangement with any other party as to the amount of any Response submitted; or
- 7.11.1.5. offers or agrees to pay or give or does pay or give any sum or sums of money, inducement or valuable consideration directly or indirectly to any party for doing or having done or causing or having caused to be done in relation to any other Response or proposed Response, any act or omission,

shall (without prejudice to any other civil remedies available to the Contracting Authority and without prejudice to any criminal liability which such conduct by a Bidder may attract) be disqualified.

## **7.12. No inducement or incentive**

7.12.1. The RFP is issued on the basis that nothing contained in it shall constitute an inducement or incentive nor shall have in any other way persuaded a Bidder to submit a Response or enter into the Contract or any other contractual agreement.

### **7.13. Acceptance of the Contract**

7.13.1. The Bidder in submitting the Response undertakes that in the event of the Response being accepted by the Contracting Authority and the Contracting Authority confirming in writing such acceptance to the Bidder, the Bidder will within 30 days of being called upon to do so by the Contracting Authority execute the Contract in the form set out in the Contract Terms or in such amended form as may subsequently be agreed.

7.13.2. The Contracting Authority shall be under no obligation to accept the lowest priced or any Response.

### **7.14. Queries relating to the Response**

7.14.1. All requests for clarification about the requirements or the process of this procurement shall be made in through the e-sourcing tool unless where the e-sourcing tool is unavailable due to Delta eSourcing system maintenance or failure, in this instance all clarifications shall be by email to the contact defined in [Section 3](#).

7.14.2. The Contracting Authority will endeavour to answer all questions as quickly as possible but cannot guarantee a minimum response time.

7.14.3. In the event of a Bidder requiring assistance uploading a clarification to the e-sourcing portal they should use the contact details defined in [Section 3](#).

7.14.4. No further requests for clarifications will be accepted after 7 days prior to the date for submission of Responses.

7.14.5. In order to ensure equality of treatment of Bidders, the Contracting Authority intends to publish the questions and clarifications raised by Bidders together with the Contracting Authority's responses (but not the source of the questions) to all participants on a regular basis.

7.14.6. Bidders should indicate if a query is of a commercially sensitive nature – where disclosure of such query and the answer would or would be likely to prejudice its commercial interests. However, if the Contracting Authority at its sole discretion does not either; consider the query to be of a commercially confidential nature or one which all Bidders would potentially benefit from seeing both the query and the Contracting Authority's response, the Contracting Authority will:

7.14.6.1. invite the Bidder submitting the query to either declassify the query and allow the query along with the Contracting Authority's response to be circulated to all Bidders; or

7.14.6.2. request the Bidder, if it still considers the query to be of a commercially confidential nature, to withdraw the query prior to the end of the closing date and time for Bidder clarifications.

7.14.7. The Contracting Authority reserves the right not to respond to a request for clarification or to circulate such a request where it considers that the answer to that request would or would be likely to prejudice its commercial interests.

### **7.15. Amendments to Response Documents**

7.15.1. At any time prior to the deadline for the receipt of Responses, the Contracting Authority may modify the RFP by amendment. Any such amendment will be numbered and dated and issued by the Contracting Authority to all prospective Bidders. In order to give prospective Bidders reasonable time in which to take the amendment into account in preparing their Responses, the Contracting Authority may, at its discretion, extend the time and/or date for receipt of Responses.

## **7.16. Modification and withdrawal**

7.16.1. Bidders may modify their Response where allowable within the e-sourcing tool. No Response may be modified after the deadline for submission of Responses.

7.16.2. Bidders may withdraw their Response at any time prior the deadline for submission of Responses [or any other time prior to accepting the offer of a Contract]. The notice to withdraw the Response must be in writing and sent to the Contracting Authority by recorded delivery or equivalent service and delivered to the Head of Policy UK SBS at UK Shared Business Services Ltd, Procurement, Polaris House, North Star Avenue, Swindon, Wiltshire, SN2 1ET

## **7.17. Right to disqualify or reject**

7.17.1. The Contracting Authority reserves the right to reject or disqualify a Bidder where

- 7.17.1.1. the Bidder fails to comply fully with the requirements of this Request for Proposal or presents the response in a format contrary to the requirements of this document; and/or
- 7.17.1.2. the Bidder is guilty of serious misrepresentation in relation to its Response; expression of interest; or the Response process; and/or
- 7.17.1.3. there is a change in identity, control, financial standing or other factor impacting on the selection and/or evaluation process affecting the Bidder.

## **7.18. Right to cancel, clarify or vary the process**

7.18.1. The Contracting Authority reserves the right to:

- 7.18.1.1. cancel the evaluation process at any stage; and/or
- 7.18.1.2. require the Bidder to clarify its Response in writing and/or provide additional information. (Failure to respond adequately may result in the Bidder not being selected),

## **7.19. Notification of award**

7.19.1. The Contracting Authority will notify the successful Bidder of the Contract award in writing and will publish an Award Notice in the Official Journal of the European Union in accordance with the Regulations within 30 days of the award of the contract.

7.19.2. As required by the Regulations all successful and unsuccessful Bidders will be provided with an email advising the outcome of the submission of their RFP response.

## Appendix 'A' Glossary of Terms

TERM	MEANING
“UK SBS”	means UK Shared Business Services Ltd herein after referred to as UK SBS.
“Bid”, “Response”, “Submitted Bid”, or “RFP Response”	means the Bidders formal offer in response to this Request for Proposal
“Bidder(s)”	means the organisations being invited to respond to this Request for Proposal
“Central Purchasing Body”	means a duly constituted public sector organisation which procures supplies/services/works for and on behalf of contracting authorities
“Conditions of Bid”	means the terms and conditions set out in this RFP relating to the submission of a Bid
“Contract”	means the agreement to be entered by the Contracting Authority and the Supplier following any award under the procurement
“Contracting Bodies”	means the Contracting Authority and any other contracting authorities described in the OJEU Contract Notice
“Contracting Authority”	A public body regulated under the Public Contracts Regulations on whose behalf the procurement is being run
“Customer”	means the legal entity (or entities) for which any Contract agreed will be made accessible to.
“Due Diligence Information”	means the background and supporting documents and information provided by the Contracting Authority for the purpose of better informing the Bidders responses to this Request for Proposal
“EIR”	mean the Environmental Information Regulations 2004 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such regulations
“FoIA”	means the Freedom of Information Act 2000 and any subordinate legislation made under such Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation
“Lot”	means a discrete sub-division of the requirements
“Mandatory”	Means a pass / fail criteria which must be met in order for a Bid to be considered, unless otherwise specified.
“OJEU Contract Notice”	means the advertisement issued in the Official Journal of the European Union
“Order”	means an order for served by any Contracting Body on the Supplier
“Other Public Bodies”	means all Contracting Bodies except the Contracting Authority
“Request for Proposal” or “RFP”	means this Request for Proposal documentation and all related documents published by the Contracting Authority and made available to Bidders and includes the Due Diligence Information. <b>NOTE:</b> This document is often referred to as an Invitation to Tender within other organisations
“Supplier”	means the organisation awarded the Contract
“Supplies / Services / Works”	means any supplies/services and supplies or works set out at within <a href="#">Section 4 Specification</a>