

# Request for Proposal



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

**Subject: Evaluation of the Industrial Strategy Challenge Fund (ISCF)**

**Sourcing Reference Number: CR20065**

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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 £750,000.00 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, 1 <sup>st</sup> July 2020
3.7.	Date RFP available to Bidders on Contracts Finder	Friday, 3 <sup>rd</sup> July 2020
3.8.	Latest date / time RFP clarification questions shall be received through Delta eSourcing messaging system	Monday, 27 <sup>th</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	Monday, 3 <sup>rd</sup> August 2020
3.10.	Closing date and time for Bidder to request RFP documents	Friday, 28 <sup>th</sup> August 2020 11:00
3.11.	Closing date and time for Bidder to submit their response (' <b>the deadline</b> ').	Tuesday, 1 <sup>st</sup> September 2020 11:00
3.12.	Clarifications (if required)	Week commencing Monday, 14 <sup>th</sup> September 2020
3.13.	Notification of proposed Contract award to unsuccessful bidders	Monday, 21 <sup>st</sup> September 2020
3.14.	Anticipated Contract Award Date	Friday, 2 <sup>nd</sup> October 2020
3.15.	Commencement of Contract	Monday, 5 <sup>th</sup> October 2020
3.16.	Completion of Contract	Tuesday, 31 <sup>st</sup> December 2024
3.17.	Bid Validity Period	90 Working Days

## Section 4 – Specification and about this procurement

### Background

#### 1. About the National Productivity Investment Fund

- a. As set out in the Industrial Strategy, the Government allocated £7bn to the National Productivity Investment Fund (NPIF) over the period 2017/18 to 2021/22. Split between themes (including the Strategic Priorities Fund, the Strength in Places Fund, the Fund for International Collaboration and the Future Leaders Fellowship Fund). The NPIF funding package balances both discovery-led and Challenge-based research and innovation.

#### 2. About the Industrial Strategy Challenge Fund

- a. The Industrial Strategy Challenge Fund (ISCF) is part of the NPIF and was announced by the then Prime Minister in November 2016.
- b. The ISCF is a mission-oriented innovation funding programme that brings together the UK's world-leading research base with highly-innovative businesses to solve the major industrial and societal challenges facing the UK. The ISCF supports the broader Industrial Strategy policies including the Grand Challenges and Sector Deals. The alignment of the ISCF to these policies are shown below in Table 1.
- c. The ISCF has borrowed from the US Defence Advanced Research Projects Agency (DARPA) model by placing the responsibility for delivering a 'Challenge' in the hands of a 'Challenge Director'. Challenge Directors are leading experts in the area and will coordinate across different delivery organisations to make the Challenge a success.
- d. The Challenges are delivered through UK Research and Innovation (UKRI). It takes an approach that combines world leading research (funded through UKRI Research Councils) with the business focussed, competitive approach to innovations (funded through UKRI Innovate UK) to accelerate the application of UK industry-led solutions in challenge areas (i.e. ageing society, clean energy, artificial intelligence and future of mobility). The Challenges focus on industries and technologies where the global market is potentially large, and the UK has the scientific and business capability to become a world-leader. The *specific needs of industry* are at the core of the Challenges. The ISCF therefore works across the Technology Readiness Level (TRL) scale, from discovery-driven research to large scale demonstration.
- e. As agreed in the first ISCF business case in 2016, the ISCF objectives are to:
  - Increase UK businesses' investment in R&D and improve R&D capability and capacity.
  - Increase multi- and interdisciplinary research around the challenge areas.
  - Increase business-academic engagement on innovation activities relating to the challenge areas.
  - Increase collaboration between younger, smaller companies and larger, more established companies up the value chain.
  - Increase overseas investment in R&D in the UK

The success of the ISCF will be judged on: (a) use of public funds to drive UK business growth from the excellent research that has been conducted in the UK; (b) capturing the value in the UK; and (c) growing businesses that have been part of the challenge, with benefit across the UK.

- f. ISCF consists of 22 Challenges and two pioneer challenges, and currently has a combined total of **£2.6bn** in Government funding. The 22 Challenges are delivered through multiple Waves. Wave 1,2 and 3 are currently in delivery where the total investment consists of Wave 1a (£283m), Wave 1b (£726m), Wave 2 (£744m) and Wave 3 (£851) million respectively.

### 3. ISCF Challenges Wave 1-3

- a. Each Challenge or programme aims to develop or advance technology solutions, knowledge, capacity and capability for a specific challenge area. The Challenges for each Wave have been selected based on key criteria such as the level of global market opportunity, the existing capabilities in the UK in order to further capacity and research to meet future market needs, the potential of social and economic opportunities, and clear industry readiness and commitment. The full list of Challenges and alignment to other Industrial Strategy policies (i.e. the Grand Challenges and Sector Deals are illustrated below).

**Table 1:** Wave 1-3 Challenges and non-Challenge programmes and alignment with Grand Challenges and Sector Deals

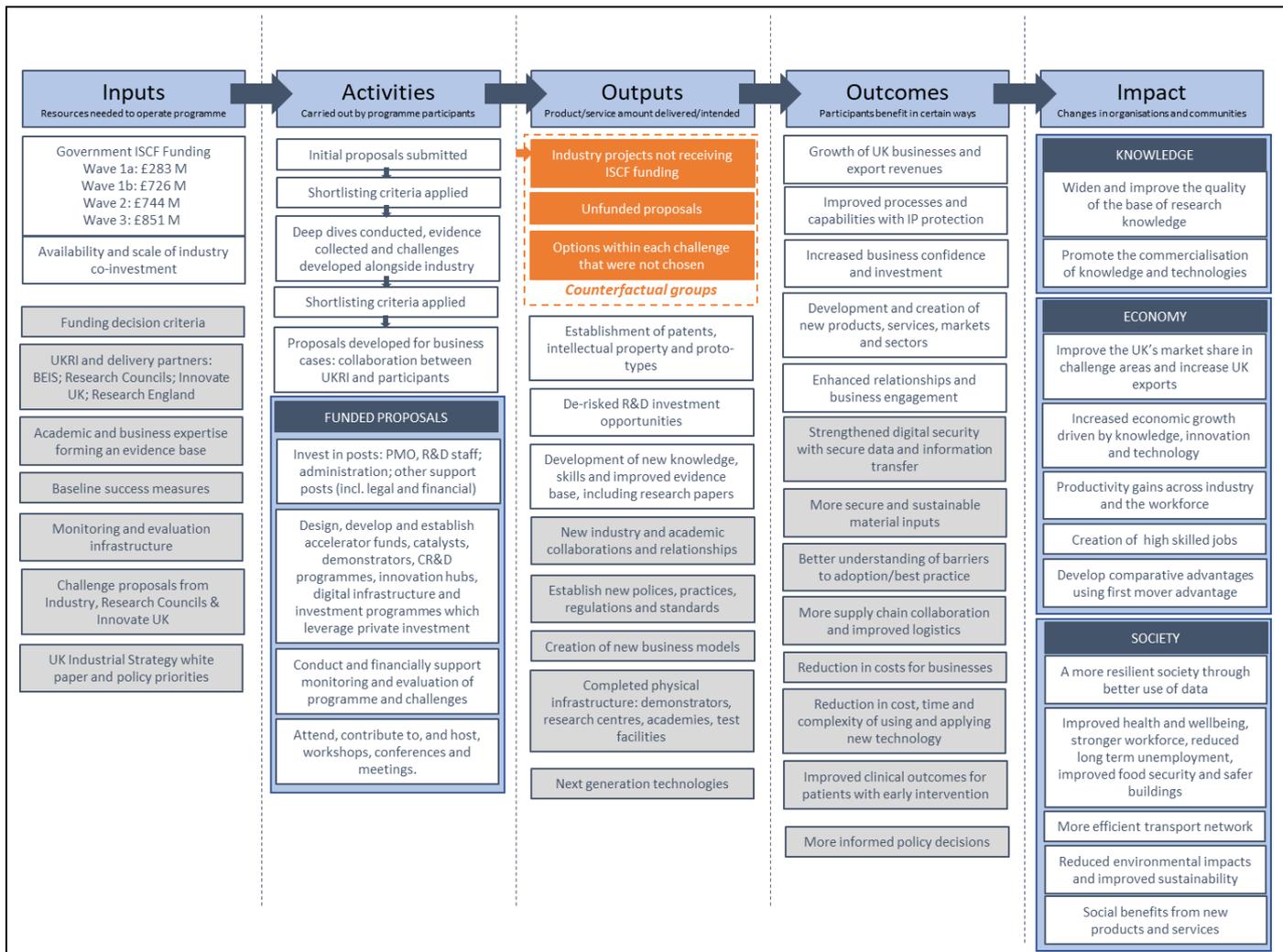
Grand Challenge	Artificial Intelligence & Data	Ageing Society	Clean Growth	Future of Mobility	Other
ISCF Wave			ISCF Challenge name		
Wave 1b	Robotics and Artificial Intelligence in Extreme Environment [Sector Deal: AI & Nuclear]	Medicines Manufacturing [Sector Deal: Life Science]		Faraday Battery Challenge  Self-driving Vehicles	National Satellite Test Facility  Next Generation Aero Materials
Wave 2	Data to Early Diagnosis and Precision Medicine [Sector Deal: Life Sciences]  Next Generation Services [Sector Deal: AI]  Quantum Technologies	Healthy Ageing	Prospering from the Energy Revolution  Transforming Construction [Sector Deal: Construction]  Transforming Food Production		Audience of the Future  [Sector Deal: Creative Industries]
Wave 3	Accelerating Detection of Disease [Sector Deal: Life Science]  Commercialising Quantum Technologies  Digital Security by Design  Manufacturing		Industrial Decarbonisation  Transforming Food Industries  Smart Sustainable Plastic Packaging  Low Cost	Driving the Electric Revolution [Sector Deal: Auto]  Future Flight	

	Made Smarter [Sector Deal: Life Science, Auto, Aero and construction]		Nuclear		
Wave 1a	Detailed below. These are fast start projects that were funded prior to Wave 1b and are not delivered through the Challenge-led approach. It should be noted the Creative Clusters programme (Wave 1a) however is closely aligned with the Wave 2 Audience of the Future programme. Both programmes are being evaluated independently as two separate programmes.				

- b. Each individual ISCF Challenge or programme is delivered through a single or combination of existing funding instruments or newly created ones that are most appropriate for the Challenge:
  - **Demonstrators:** closest to market, single site, open access or combined effort of multiple groups to deliver a physical prototype product or service;
  - **Development of research and innovation infrastructure;**
  - **Collaborative R&D:** This is a consortium of researchers and companies that develop an early proof of concept, distributed effort and lesser budget than a demonstrator; and
  - **Discovery driven research:** applied research to deliver a gap identified by industry.
- c. Every ISCF Challenge will be independently evaluated at the individual programme level.
- d. Prior to Wave 1b, some fast start research and innovation grants totalling approximately £283M were provided across UKRI. These are Wave 1a investments which were funded through standard UKRI research and innovation grants through individual councils as opposed to the Challenge-led approach. The primary focus of this evaluation is to assess the impact of the Challenge-led aspects of the ISCF. However, the evaluation will also need to evaluate the impact of the Wave 1a investments, using this as a comparison to the impact of the Challenge-led aspects of the ISCF (Waves 1b, 2 and 3).
- e. There are three separate and individual programmes within ISCF that are also not delivered through the Challenge-led approach: Self-driving cars, National Satellite Test Facility and Next Generation Aero Materials. However, they should be assessed in the same approach as Wave 1a, both in terms of evaluating the impact of these programmes and use them as a comparison to the impact of the Challenge-led aspects of the ISCF.

#### 4. The ISCF Logic Model

- a. We expect the appointed evaluator to refine the logic model below as a deliverable as part of Phase 1: Evaluation Framework Development. Specifically, the appointed evaluator should identify any gaps in the existing logic model and test the route to impacts of the existing logic model such that it effectively links the outputs and outcomes to longer term impacts of the ISCF.



## Aims and themes of the evaluation

### 5. Aim

- UKRI is committed to rigorous evaluation of all our key programmes, including the ISCF. UKRI would like to commission an independent evaluation of our investment in ISCF to date (Wave 1-3).
- The aim of the evaluation is to build an evidence base with which to judge the success and overall impact of the Industrial Strategy Challenge Fund in order to:
  - inform ongoing and future improvements to the ISCF to maximise the value of public funding;
  - to demonstrate the return on investment to taxpayers;
  - build the evidence base on the impact of mission-oriented and Challenge-focused R&I support as part of UKRI's wider efforts to understand 'what works' in R&I policy and delivery.

### 6. Evaluation Questions

- The evaluation questions have been developed in order to support the different aims of the evaluation. The intention is to build an evidence base to determine the success of the ISCF and to inform lessons learned for future funding through answering a set of questions that explore the ISCF through different lenses.

b. The National Audit Office (NAO) is currently undertaking a value for money assessment of the ISCF with findings expected in autumn 2020. The aim of this is to understand if UKRI'S management of the ISCF has achieved value for money to date by assessing key aspects of the ISCF. The aspects include the objectives, design, governance, administration, monitoring and evaluation of the ISCF. The NAO findings will inform the efficiency and effectiveness of these aspects and provide improvement actions at this point in time. The process evaluation in this tender will be able to build further from the NAO review by retrospectively assessing the ISCF in the longer term. Specifically, the evaluation will focus on how the design and delivery of the ISCF contribute to its impact using longer term evidence when impacts are more observable. The successful bidder should effectively use the NAO review to refine process evaluation questions and approach and to minimise overlap in findings.

<b>Audience and purpose of the question</b>	<b>Sub evaluation questions</b>
<b>Appropriateness – process evaluation questions</b>	
<p><b>For UKRI and BEIS - To understand to what extent has the approach of the ISCF 'worked', to help UKRI and BEIS to learn lessons for the future</b></p>	<p>1) A key design feature of the ISCF is the 'Challenge-led approach', which involves appointing industry experts (Challenge Directors) to make decisions on research and innovation investment priorities in order to address the relevant industrial challenges. The rationale is that Challenge Directors are in a unique (expert) position to identify and maximise research and innovation opportunities across the different domains (government, academia and business). This raises a set of important questions for the evaluation, including:</p> <ul style="list-style-type: none"> <li>- To what extent has this approach maximised research and innovation opportunities across the different domains for the benefit of the programme?</li> <li>- To what extent has the approach led to appropriate investment decisions that focus on the industrial challenges assigned to each programme?</li> <li>- How agile was the programme in responding to change and adjusting investment decisions appropriately, and to what extent is this attributable to the Challenge Directors?</li> <li>- To what extent (and why) has the ISCF reached its target participants and broader stakeholders across sectors and across disciplines? What may be the consequences and implications of this? (Consider businesses and academics that have not applied to ISCF but are also potential applicants)</li> <li>- How much autonomy do Challenge Directors have in designing and delivering their programmes? What would be the likely difference in benefit and costs if there was more autonomy (e.g. as a result of their preferred timeline, scope and activities for the Challenge)?</li> <li>- Overall, what are the lessons learnt from this approach in terms of the role of industry experts in advancing R&amp;D?</li> </ul> <p>2) The Challenge Director is able to use a combination of different funding instruments and support mechanisms to deliver their programme's objectives as opposed to relying on a single instrument or mechanism. The rationale is that different approaches complement each other to effectively deliver the programme and some are more effective in achieving specific objectives than</p>

others. This raises a set of important questions for the evaluation, including:

- What is the additional value this approach provides compared to standard grants in UKRI? (i.e. the sum of strands versus individual strand delivery)
- To what extent, and how, have the various funding instruments (e.g. CR&D, Hubs/centres) enabled an ecosystem within Challenges to collaborate across different domains (government, academia and businesses)?
- What alternative funding instruments or improvements could be made to improve the collaborations across different domains? (*Note this links to the value for money question, if there are other value for money instruments for delivery*)

3) The ISCF was set up to address specific industrial and societal challenges through a mission-oriented approach. The rationale was to allow for public and private sector across different sectors to interact to solve specific challenges. This creates a greater potential for spillovers than a sectoral approach in the process of finding a solution.

Consider:

- How responsive was the ISCF to industry in identifying the industrial needs?
- How balanced was the ISCF in selecting the industry it targets (e.g. achieving the balance between selecting nascent industry and established industry)?
- How genuinely mission oriented was the ISCF (i.e. focused on a specific issue through the use of different sectors)? Did this work?
- To what extent and how has the ISCF Challenges focused on 'high risk' investment areas and enabled the 'de-risking' of investment? Further, what is the difference in the level of impacts of focusing on high and low risk investment area?

4) Funding through the ISCF was allocated through successive funding 'waves'. The rationale was to allow for a process of learning and improvement in-between distinct waves, to improve the overall performance of the ISCF. This raises a set of important questions for the evaluation, including:

- What are the differences in the way that Wave 1, 2 and 3 identified the Challenges, including improvements made after each Wave and whether lessons learnt were applied? Further, what are the lessons learnt for future waves/similar funds?
- A key difference of Wave 3 was the increase in co-investment target by industry (a public and private investment ratio of 1:1.5)
  - o How effective has the ISCF been in obtaining this industry commitment?
  - o To what extent has the focus of co-investment led to a difference? (Consider a variety of other influencing factors such as extent of de-risking required, existing appetite in the UK private sector and the maturity of market and note the emphasis of co-investment vary by Challenges as some will require this more than others)
  - o What unintended consequences has the co-investment target

	<p>created?</p> <p>5) The ISCF has a dedicated set up in both governance and ways of operations. This includes the oversight by the ISCF Steering board. This is a dedicated board, consisting of leadership from various UKRI councils and BEIS representatives. At the Challenge-level, there is also a dedicated governance which is oversight by the Challenge Programme Board and guidance provided by the advisory group. The ISCF has a dedicated Portfolio Management Office (PMO) consisting of programme managers, project managers and project support analysts responsible for the delivery of ISCF Challenges.</p> <p>Consider:</p> <ul style="list-style-type: none"> <li>- To what extent has the ISCF governance and set up supported and enabled delivery of ISCF? (e.g. the role of ISCF Steering board in decision making and the role of Performance and Monitoring board in analysing the portfolio's performance and the individual Challenge governance set up with Senior Responsible Officer, Challenge Programme board and Advisory board)</li> <li>- Using Covid-19 as an example, how well does the ISCF governance allow for an effective response in guiding the Challenges to adjust to their programmes appropriately?</li> <li>- What were the unexpected facilitators or barriers to implementing and delivering the ISCF, if any, e.g. recruitment of Challenge Director?</li> <li>- What is the value add of ISCF PMO in enabling a centralised, coordinated and consistent approach to delivering ISCF Challenges?</li> <li>- How effective was the use of performance monitoring to support management decisions for the ISCF?</li> </ul>
<p><b>Effectiveness questions – The impact evaluation</b></p>	
<p><i>The ISCF will have longer term impacts that are at least five years post programme life. However, we expect to see early indicators of impact at and within the first five years post programme completion to understand the success of ISCF to date.</i></p> <p><i>For the impact evaluation questions below, we ask the evaluator to consider two points of time: 1) at the point in time which the programme has completed and 2) some years post programme completion (to be defined as part of evaluation framework)</i></p>	
<p><b>For HMT and BEIS</b></p> <p>–</p> <p><b>To understand whether the ISCF met its objectives and demonstrates accountability</b> (including for broader purposes such as spending review and audit)</p>	<p>1) To what extent has the ISCF as a whole (through delivery of individual or groups of ISCF Challenges) contributed to the following five objectives:</p> <ul style="list-style-type: none"> <li>- Increased UK businesses' investment in R&amp;D and improved R&amp;D capability and capacity? (Within this and the last objective on Foreign Direct Investment (FDI), consider how the ISCF succeeded in leveraging additional, third-party investment in research and innovation activity. How much has materialised?)</li> <li>- Increased multi- and interdisciplinary (MIDRI)<sup>1</sup> research around the Challenge areas?</li> <li>- Increased business-academic engagement on innovation activities relating to Challenge areas?</li> <li>- Increased collaboration between younger, smaller companies and</li> </ul>

<sup>1</sup> Defined internally as follows: multi-disciplinary research or innovation involving two or more separate disciplines or sectors, whereas inter-disciplinary research or innovation integrates insights and perspectives from more than one disciplinary [or sector] standpoint.

	<p>larger, more established companies up the value chain?</p> <ul style="list-style-type: none"> <li>- Increased overseas investment in R&amp;D in the UK?</li> </ul> <p>2) The ISCF plays an important role in supporting the broader cross government and ministerial priorities.</p> <p>Consider:</p> <ul style="list-style-type: none"> <li>- In line with the ISCF objectives, how much additional public and private R&amp;D investment has the ISCF contributed towards the 2.4% R&amp;D investment target of GDP by 2027?</li> <li>- To what extent, and how has the ISCF aligned and supported the key Industrial Strategy policies: Grand Challenges and Sector Deals in addressing the major industrial and societal challenges?</li> <li>- To what extent has the ISCF reflected evolving ministerial priorities since its inception in 2016?</li> <li>- To what extent has the split of funding across business sectors reflected BEIS' focus on the Grand Challenges and emerging priorities like Net Zero?</li> <li>- How has the ISCF funnelled investment into enabling technologies to support the key industrial strategy policies such as the Grand Challenges and other BEIS policy objectives??</li> <li>- While the ISCF is place-agnostic, consider the geographical spread of investment and activities on the ISCF.</li> </ul>
<p><b>For tax payers – To understand the wider impact of the ISCF in terms of knowledge, society and economy and to demonstrate the return to the tax payer</b></p>	<p>1) Each ISCF Challenge aims to address a major industrial or societal problem. There are different societal, economic and environmental impacts for each of the Challenges.</p> <p>1.1 What has been the knowledge and innovation impact of the ISCF on the relevant sectors in terms of:</p> <ul style="list-style-type: none"> <li>- Impact on advancing knowledge and innovation, both in the UK and internationally?</li> <li>- Impact on advancing the UK's global position to attract research and development?</li> <li>- Impact on collaboration of businesses</li> </ul> <p>1.2 What has been the economic impact of the ISCF on the relevant sectors, specifically:</p> <p>*Note: As part of the evaluation framework, the successful bidder will be required to consider how to segment the sectors that ISCF Challenges have impact on and aggregate the impact of ISCF Challenges for the same sectors to answer the following:</p> <ul style="list-style-type: none"> <li>- What has been the productivity change (capital, labour or combined)?</li> <li>- What has been the change in volume and value of employment (e.g. upskilling individuals)?</li> <li>- What has been the increase in gross value add? (including the creation of new products and services in relevant sectors and/or the creation of new markets)</li> <li>- To what extent has the ISCF Challenges created new markets or enabled increase of UK's share in global market in their respective sector?</li> </ul> <p>1.3 What has been the societal impact (including environmental impact) of the</p>

	<p>ISCF?</p> <p>Consider:</p> <ul style="list-style-type: none"> <li>- To what extent has the groups of ISCF Challenges contributed to solving the societal problems, specifically the four Grand Challenges? Info on Grand Challenges: (<a href="https://www.gov.uk/government/publications/industrial-strategy-the-grand-challenges/industrial-strategy-the-grand-challenges">https://www.gov.uk/government/publications/industrial-strategy-the-grand-challenges/industrial-strategy-the-grand-challenges</a>)</li> <li>- How has ISCF contributed to the Equality, Diversity and Inclusion? Specifically: <ul style="list-style-type: none"> <li>o What are the ways which ISCF embed EDI in its processes and delivery (from Challenge inception to close out)?</li> <li>o How has ISCF contributed to thought leadership of EDI in ISCF, UKRI and its external participants?</li> <li>o What is diversity in the membership of advisory and programme boards and Challenge teams?</li> <li>o How effective and wide reaching is the ISCF communication and engagement to support EDI (through ISCF direct communications and through its partners and networks such as KTN, Catapults, EEN)?</li> <li>o What were the diversity characteristics of the applicants, lead investigators and project partners, and application assessors?</li> </ul> </li> </ul> <p>1.4 To what extent and how has the ISCF contributed to the creation and improvement of talent and skills in the UK? Specifically:</p> <ul style="list-style-type: none"> <li>- What additional new research and employment opportunities were created?</li> <li>- To what extent and how has the Challenges increased individual capabilities both in research and innovation?</li> <li>- To what extent has the ISCF attracted additional talent and Challenge-associated skills into the UK?</li> </ul> <p>1.5 What unintended outcomes and impacts have occurred as a result of the ISCF?</p> <p>2) ISCF is expected to generate return on investment in the relevant sectors and the UK economy as whole. Therefore, the successful bidder should attempt to estimate the value of ISCF through an economic evaluation. <i>(It is acknowledged that it will be difficult to derive a robust assessment given the technical challenges such as attribution and spill over. Nonetheless, we are keen to estimate the return on investment.)</i></p> <p>Consider:</p> <ul style="list-style-type: none"> <li>- To what extent does the ISCF provide return on investment given overall impact on knowledge, economy and society relative to the size of the investment? (Consider the value add to the society including improvement health, living standards, environment and any positive spillovers)</li> <li>- To what extent does the ISCF represent value for money? (Comparison should be made to other possible alternative research and innovation policies AND/OR international benchmark of innovation funds that aims</li> </ul>
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to achieve the same level and breadth of impacts)

## 7. Scope of the evaluation

- a. The evaluation will be at the portfolio-level which includes the programmes set out in section 3. This evaluation will draw on the challenge-level evaluation evidence to answer the aggregated impact and process evaluation findings of ISCF challenges. Example evaluation indicators have been provided in Annex 1.
- b. Given the multi-disciplinary and multi-sector nature of this evaluation, the bidder should outline their expertise in research and innovation across multiple disciplines and multiple sectors and/or propose strategies to access the expertise (including forming a consortium) in order to deliver this evaluation.

## 8. Evaluation budget

- a. We have a maximum budget of £750k excluding VAT for this evaluation, with an indicative budget of £500k excluding VAT. The bidder is invited to propose a breakdown of costs by phase identified in Section 18. We have a budget up to £750k to allow bidders to specifically justify any proposal value above £500K in their research and analysis proposal.

## 9. Time period to be covered by the evaluation

- a. The timeline of the evaluation ends shortly after the separately-led evaluations of the ISCF Wave 3 Challenge-level evaluations have concluded. However, some impacts of the programme are much longer term in nature. Therefore, the evaluation should highlight the evidence of outcomes and impacts realised to date, and crucially also, the prospect of future impact occurring, based on progress to date and relevant (evidenced) trajectories.

## 10. Stakeholders to be engaged during the evaluation

- a. The table below lists stakeholder groups that are likely to hold information and insights relevant to the evaluation questions. It is not expected that the contractor will necessarily engage with all these groups. It is important that the contractor looks beyond the stakeholders listed to ensure the evaluation is informed by a range of informed, external and objective perspectives (including those outside the ISCF programmes).

### Overview of ISCF stakeholders

Within ISCF programmes	<ul style="list-style-type: none"> <li>- ISCF PMO key stakeholders (ISCF PMO Portfolio Manager, Benefit Lead, Data Lead)</li> <li>- ISCF Challenge team key programme contacts (Impact and Performance managers, Programme managers) to liaise for data</li> <li>- Relevant end users, applicants and non-applicants for ISCF Challenges for data collection as necessary, however this is only expected if there are gaps in challenge-evaluation evidence.</li> </ul>
At UKRI	<ul style="list-style-type: none"> <li>- The NPIF Evaluation Oversight board</li> <li>- The ISCF Evaluation working group (to be formed)</li> <li>- The ISCF Performance and Monitoring Board</li> <li>- The ISCF Steering Board</li> </ul>
Wider stakeholders	<ul style="list-style-type: none"> <li>- BEIS (particularly Sector Deals and Grand Challenges evaluation lead)</li> <li>- HMT and other central Government departments</li> <li>- Consultancies engaged in ISCF Challenge-level evaluations</li> <li>- Industry, research area leaders (national and international) and the public</li> </ul>

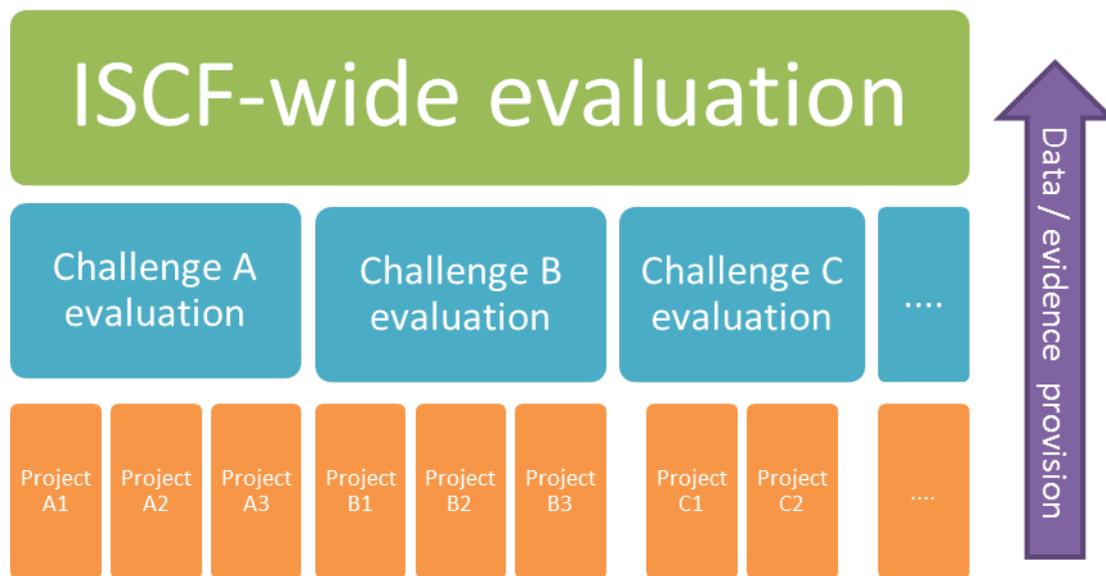
- b. Stakeholder mapping and the development of a stakeholder engagement plan should be part of the scoping phase of the evaluation. The bidder is also invited to explain how they will bring in sector expertise and knowledge that is relevant to the ISCF as part of the evaluation offer.

**11. Oversight and management of the research**

- a. The evaluation will be overseen by the ISCF Evaluation lead and the ISCF evaluation working group. The evaluation will be reported to the NPIF Evaluation Oversight Board, which may escalate further to the ISCF Performance and Monitoring board and/or the ISCF Steering Board. The successful bidder will report to the ISCF Evaluation lead and the ISCF Evaluation working group.
- b. The ISCF Evaluation working group will be responsible for setting expectations for evaluation and steering the evaluation by providing reviews and guidance along the development. The group will consist of leadership in ISCF PMO, representatives in UKRI Analysis, UKRI Strategy and BEIS analysis and HMT who are involved in the ISCF. The full list of membership will be provided to the successful bidder.

**12. Overview of ISCF monitoring and evaluation activity**

- a. The diagram below sets out the overarching monitoring and evaluation activity for the ISCF from project level data to ISCF portfolio-level evaluation, which should be encapsulated in the evaluation framework. All the ISCF Challenges will have independently commissioned evaluations with evaluation reports available near the end of programme.



**13. Ethics and governance**

- a. The bidder is invited to explain how the research will be conducted in accordance with high ethical standards.

**14. Data protection and security**

- a. The bidder is invited to outline how the evaluation will be conducted in accordance with relevant data protection and security standards, including how they will safely store, use and destroy contact details of stakeholders, documentary sources shared about the investments during the evaluation and the other information collected as part of the evaluation.
- b. 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 to be compliant with GDPR. Bidders should consider the most streamlined way to

collect information from these individuals with an aim to maximise quality and rate of response.

## Approach

### 15. Analysis and synthesis

- a. The bidder is invited to set out proposed approaches to the analysis of data and synthesis of the evidence that are robust, systematic and ensure that all findings and conclusions are grounded in the available evidence. This includes being explicit about the limitations, evidence gaps and uncertainties.
- b. It is anticipated that this project will require a combination of analytical techniques. The proposed approach to address the evaluation questions for the process, impact and economic evaluation must set out where reliable, quantified impact estimates are expected to be achieved, and where a more qualitative or descriptive approach might be expected. These could include case studies, surveys of stakeholders or beneficiaries, in-depth interviews, data linking, econometric analysis, primary or secondary data, and industry consultations. Proposals should specify how the different analytical techniques employed are the most appropriate for each of the evaluation objectives. It may be that not all are appropriate, but it is unlikely that any one alone will be sufficient. Where theory-based techniques, such as contribution analysis, are put forward proposals must clearly set out how different analytical approaches will be combined to produce the final findings.
- c. For survey activity, proposals should indicate the type of survey to be implemented, and indicate the number required or expected sample size, as well as their strategies to achieve this and steps which will be taken if it is not achieved. This includes methods and approaches used to capture and ensure the maximum response rate possible.
- d. For case studies, proposals should also indicate the number to be conducted and what methods (i.e. the sampling approach) and tools (i.e. face to face, phone interview) are going to be implemented, taking into consideration the time and costs of the different tools. Proposals should also set out how case study findings will be analysed and presented.
- e. Where possible, it is anticipated that the successful proposal will make use of one or more appropriate counterfactuals. Proposals should set out the population of any counterfactual that will be used, and why this represents the most appropriate control group(s), including the approach to baselining the ISCF.
- f. The ISCF fund is a diverse portfolio of programmes with different sector focus and issues. It is anticipated that, where appropriate, to analyse and synthesise the data the portfolio will need to be aggregated (potentially by sectors). The bidder will be required to consider how the different programmes will be aggregated as part of the evaluation framework.
- g. The evaluation should be undertaken in line with the broad principles set out in the Government's overarching appraisal, evaluation and quality-assurance frameworks as represented by the Green, Magenta and Aqua books. More detailed evaluation guidance includes the ISCF Evaluation Framework and Guidance Document, UKRI Monitoring and Evaluation Framework and the Innovate UK Evaluation Framework. Proposals should clearly outline their plan for estimating deadweight, displacement, leakages and spillovers, in this context. Each of these factors must be individually addressed in proposals. It will not be considered sufficient for bidders to rely on general estimates drawn from the wider literature.
- h. Bidders are encouraged to think innovatively in terms of how they propose to address the evaluation objectives, although innovation should not be to the detriment of robustness. The funding partners are keen to push boundaries in their evaluations to improve the quality of their

evidence base.

## 16. Challenges for the evaluation

- a. It is anticipated that the evaluation will have a number of challenges which include (but are not limited to):
  - **Attribution to ISCF**– There are many public investment funding that also takes place in the sectors which ISCF Challenges operate in. These are expected to influence impact at a broader sectoral and societal level which makes it difficult to attribute to ISCF.
  - **Difficulty in aggregating overall impacts across all ISCF Challenges** – The ISCF consists of a diverse portfolio of programmes that will deliver impacts across a diverse range of sectors. The portfolio-level evaluation should aim to bring together the impacts in various ways (e.g. impacts of the fund as a whole to the UK economy, impacts to the relevant sectors collectively) The different types of data collected and analysis conducted for all Challenge-level evaluations means the aggregation of impacts across Challenges will need to be considered carefully.
  - **Tracking outcomes and impacts** – All ISCF Challenges will continue to have impacts at least 3-5 years post programme delivery. The long term nature and lag effects of impacts, uncertainty, and organisational changes make tracking and attributing impacts difficult, especially given that the benefits from new technological advances can often take decades to fully materialise. Consideration should be given to this up front, e.g. using data to track companies and researchers over long timeframes. In practice, though, evaluations will take place before all the potential impacts have been fully realised, which will need to be acknowledged and planned for in evaluation design.
  - **Establishing the counterfactual** – i.e. what would have happened in the absence of funding – in particular, the ISCF investment is unprecedented and with many existing investments in place, it may be hard to establish a robust counterfactual or baseline.
  - **Spillovers** – research has found that a large proportion of the overall benefits from research and innovation investments tend to be ‘spillovers’, i.e. the benefits to other firms and wider society that are typically hard to predict and measure.
  - **Self-assessment issues** – beneficiary surveys relying on funding recipients’ responses on the impact of funding may be necessary to capture indicators that are not available. Although there is a risk of bias, e.g. self-reporting, optimism and selection bias, survey design could mitigate against bias as much as possible.
- b. The bidder is invited to suggest pragmatic methods to overcome the challenges, highlighting how this has influenced the approach proposed, why it is deemed to be the most robust option and what the limits of it are.

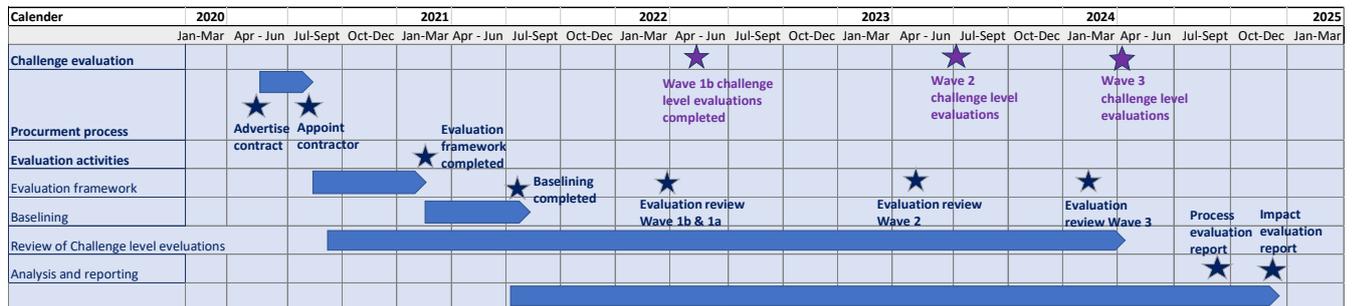
## 17. Data and information to be used in the evaluation

- a. The bidder is invited to propose the data collection activities required to deliver the best evidence for the evaluation. The available internal portfolio-level data sources provided by UKRI include:
  - Data collected and analysis conducted at the individual Challenge-level evaluation
  - Data collected through the grants system on applications (currently the Joint electronic Submission (Je-S) form and Innovation Funding System (IFS)), including Equality, Diversity and Inclusion (EDI) characteristics.
  - Data on research and innovation impacts and outcomes reported through the researchfish® and Innovate UK Awards Compliance Commercialisation (ACC) system.
  - Additional monitoring data collected by individual Challenges on quarterly performance reporting (e.g. co-investment figures)
- b. The bidder will need to collect additional data as deemed necessary for the evaluation, examples of these might include:

- Surveys, interviews, workshops or focus groups with key contacts from ISCF portfolio management office, UKRI and BEIS stakeholders.
  - Surveys, interviews, workshops or focus groups with businesses, research institutes and/or researchers.
  - Private third-party business datasets (such as Beauhurst) which can provide consistent data for smaller companies without the need to conduct surveys. The cost for accessing these should be included in the bid budget.
  - Office of National statistics (ONS), Business enterprise research and development (BERD) and Gross Domestic Expenditure on R&D (GERD) data and Organisation for Economic Cooperation and Development (OECD) data (for overseas R&D expenditure trend data)
- c. ISCF Challenge-level evaluation and data are collected and produced at different point in time. Therefore, the bidders will need to consider how best to aggregate existing data and collect additional data to maximise the quality and robustness of information collected.
- d. In all instances of data collection, the burden on respondents must be minimised as far as possible. As detailed further below, the successful bidder will be required to contact data stocktake for all the evaluation data and existing data available. Based on this, data and information gaps will need to be addressed through additional data collection. The evaluation is also expected to utilise data-linking, potentially including to proprietary third-party datasets. Access to these datasets should be considered and costed into proposals.

## Deliverables

### 18. High level timeline and deliverable



- a. The timeline of evaluation is outlined above.
- b. The evaluation is expected to be delivered over 4 Phases with discrete deliverables which are outlined below. We have staggered the delivery of the evaluation reports to effectively capture evidence as we go along. Accordingly, we expect each subsequent report to add to the overall evidence base.
- c. The scope of this evaluation is Wave 1-3 inclusive. However, it is likely Wave 4 and future waves of ISCF will continue to develop post 2020. Future Waves of ISCF from Wave 4 and beyond implies an extension of this evaluation as an additional and separate tender. The successful bidder will need to consider this in the method design in order to include additional information from future Waves. This should be clearly state in the evaluation framework report and as part of the final deliverable - impact evaluation report.
- d. 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, such that it will be possible to hand over, in full, to contracting organisations or third parties under contract to them, for the purposes of additional research and evaluation. The contractor will also need to make all the code available to use econometric and survey data analysis. Data must be collected in such a way to enable this to happen. Proposals must state how this will be achieved, including how any data protection issues will be resolved

- e. All milestone reports would be expected to be iterated with key stakeholders of UKRI and should include an executive summary. The successful bidder will be expected to participate in the following communication (which will be flexible according to the needs to the evaluation and milestones):
- f. Monthly catch ups and concise written progress updates to the evaluation point of contact and ISCF Evaluation working group, this may be changed to fortnightly if the intensity of activity increases
- g. Half-yearly presentation including key findings and messages to support the NPIF Evaluation Oversight Board.
- h. Milestone reporting may be subject to an external, independent peer review group of evaluation experts. The contractor will be expected to consider and, if appropriate, respond to any comments from peer reviewers and update the proposed methodology where needed, and make amendments or respond to comments before publication.
- i. All final outputs are for public dissemination. They must be professionally copy edited, produced to a high standard of layout and presentation and written in a manner accessible to a range of stakeholder audiences.

### **19. Phase 1: Evaluation framework development**

- a. The purpose of this phase is to set out evaluation approach in detail, including data collection and analysis methods to undertake robust impact and process evaluation.
- b. During this phase, the bidder should also commence Phase 3 which is the review of existing evidence collected to date at the Challenge-level. This should inform what additional data collection and analysis will be required over the life of this evaluation.
- c. The output of this phase will be an approved Evaluation Framework Report.
- d. As part of this phase, the evaluator will be required to:
  - Review recent and relevant literature on evaluation for mission orientated research and innovation investment, and appropriately use the literature review to inform and develop the evaluation approach and international comparison/ counterfactual
  - Validate and refine the coverage of our proposed evaluation questions and indicators. (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 the insight gained by UKRI from the evaluation.)
  - Validate and refine as necessary the programme's logic model and key success criteria, building on the material already developed and as set out in this document.
  - Outline the scope and feasibility of the evaluation, these could include:
    - scope of the evaluation (UK and international sectors and market being assessed)
    - segmenting the summation of Challenge-level evaluation by sectors to appropriately evaluate the contribution in respect to the relevant sectors
    - feasibility of conducting econometric and/or other economic analysis to understand how ISCF has contributed to productivity lift
  - 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 analysis approach to process and impact evaluation, e.g. 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, return on investment and value of money assessment and challenges for evaluation and proposed mitigating strategies

- Develop a detailed timeline for evaluation including key activities, milestones and deliverables
  - Develop a risk register that should be reviewed throughout the life of the evaluation
  - Outline a stakeholder map for the evaluation and the approach of communication with relevant groups and ways of working
- e. The outputs of the above should be included in the evaluation framework report.
- f. Phase 2 will only commence upon the satisfactory completion of phase 1, and so this represents a break clause in the contract. Bidders are therefore expected to cost each stage separately.

## **20. Phase 2: Baseline measurement**

- a. The purpose of establishing a baseline is to provide a clearly defined starting point which can be used as a counterfactual scenario for the impacts of ISCF (in which the research and innovation activity did not take place).
- b. The output of this phase will be an approved Baseline Report.
- c. The baseline for ISCF will consist of multiple sources of data, including the baseline collected at the individual Challenge-level evaluation. It will not be possible to rely solely on programme administrative data to construct a baseline. Therefore, proposals should set out what additional data is required and how it will be collected. Proposals should also consider how to capture and present this for programmes that have already commenced, i.e. collect data retrospectively.
- d. The Baseline Measurement will support the Impact Evaluation Report. Expected components include:
- A clear definition of which sectors the baseline has been built from.
  - For quantitative evidence, this includes capturing the baseline 'position' of the indicators (as identified in the evaluation framework). This may be the expected trend of R&D investment or key industry statistics in the relevant sector in the absence of ISCF.
  - Where qualitative indicators (e.g. views, opinions) will be used as part of the evaluation, there should be evidence capturing the baseline 'position' for these indicators.
  - 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).
  - Updated Evaluation framework, in response to the baseline measurement, if required.
- e. Phase 3 will only commence upon the satisfactory completion of phase 2, and so this represents a break clause in the contract. Bidders are therefore expected to cost each stage separately.

## **21. Phase 3: Review Challenge-level evaluation findings**

- a. The purpose of this phase is to review the Challenge-level evaluation findings, to identify any key gaps in findings or data in order to answer the impact and process evaluations questions in Phase 4. The gaps are likely to include additional primary or secondary research.
- b. The output of this phase will be three succinct evaluation review reports summarising the findings and data collected so far by ISCF Waves (Wave 1a&b, Wave 2 and Wave 3) and identify any gaps in data and actions required for this evaluation.
- c. Phase 4 will only commence upon the satisfactory completion of phase 3, and so this represents a break clause in the contract. Bidders are therefore expected to cost each stage separately.

## **22. Phase 4: Analysis and reporting**

### **23. Phase 4.1: Analysis and reporting (Process evaluation findings)**

- a. The purpose of 4.1, process evaluation is to understand how effective and efficient was the ISCF delivered, as well as the lessons learnt for future mission orientated research and innovation investment i.e. to answer the process evaluation questions.
- b. The output of the 4.1 phase is an approved process evaluation report
- c. The Process Evaluation report should include:
  - Assessment of the ISCF delivery structure and approach to understand how it has enabled ISCF to achieve expected impacts by answering, but not limited, to pre-agreed process evaluation questions. This may include process mapping, surveys and interviews
  - Collated recommendations for ongoing and future improvements for the ISCF (if ISCF continues beyond Wave 3).

### **24. Phase 4.2: Analysis and reporting (Impact evaluation findings)**

- a. The purpose of 4.2, impact evaluation is to understand what impact ISCF is making at the conclusion of first three waves.
- b. The output of this phase is the impact evaluation report. Expected components include:
  - Assessment of the ISCF outcomes and impacts to date by answering, but not limited, to pre-agreed impact and economic evaluation questions. This is to be conducted by analysing internal monitoring data and primary and secondary research and presented with thematic findings that address all evaluation questions.
  - Review of evidence collected through Challenge-level evaluation findings and internal monitoring processes.
  - Estimate of longer term return on investment and value for money assessment where possible.
  - A description of all caveats and assumptions surrounding the evidence that forms part of the Impact Evaluation report (incl. definitions, sample size, response rate, collection method, caveats of data). This should include any updates or changes from the assumptions and definitions used in the evaluation reporting.
- c. UKRI will arrange an event (a workshop or conference) to share and reflect on the evaluation findings. The attendees for this event will likely be evaluation working group members and ISCF board outlined earlier. The contractor will be expected to deliver the PowerPoint presentation of the evaluation findings and participate in discussions at the event.
- d. As part of Phase 4, Proposals must clearly set out how the evaluation will be completed at the end if additional ISCF future waves (e.g. additional Challenges such as Wave 4 and beyond) are to be included and to allow the delivery of a longer-term continuation of the evaluation by any potential contractor, including through the provision of all data and contact lists.
- e. Proposals should include a strategy to merge the methodology used in Phases 1 to 4 for future evaluation beyond Wave 1-3.

### **25. Outputs and Meetings**

- a. The required outputs and meetings are shown below. The timelines have been suggested, however if the bidder considers these timescale conflict with the methodology suggested, the bidder is invited to suggest alternative timescales and provide a rationale.
- b. Note all draft output will need to demonstrate comments provided has been addressed before it has being finalised.

Phase/Timeline	Outputs	Meetings
<b>1 Evaluation framework development</b>		
Sept 2020 – Feb 2021	<ul style="list-style-type: none"> <li>- Draft <i>Evaluation Framework</i> report for review by <b>February 2021</b></li> <li>- Final <i>Evaluation Framework</i> report for acceptance.</li> </ul>	<ul style="list-style-type: none"> <li>- Kick-off meeting with ISCF Evaluation working group.</li> <li>- Workshops (inception, validation workshops) with key ISCF stakeholders to validate understanding of the ISCF and evaluation framework</li> <li>- Meeting to present draft Evaluation Framework report to ISCF Evaluation working group and the NPIF Evaluation Oversight Board.</li> <li>- Meeting to present the final Evaluation Framework report to the ISCF Evaluation working group.</li> </ul>
<b>2. Baseline Measurement</b>		
Feb 2021 – August 2021	<ul style="list-style-type: none"> <li>- Draft <i>Baseline</i> report for review by <b>August 2021</b></li> <li>- Final <i>Baseline</i> report for acceptance.</li> <li>- Updated <i>Evaluation Framework</i> (if required)</li> </ul>	<ul style="list-style-type: none"> <li>- Workshop(s) to present and validate high level findings and report structure with key programme stakeholders</li> <li>- Meeting to present the draft Baseline report to the NPIF Evaluation Oversight Board</li> <li>- Meeting to present the final Baseline report to the ISCF Steering Board</li> </ul>
<b>3. Review of Challenge-level evaluation</b>		
August 2021 – February 2024	<ul style="list-style-type: none"> <li>- Draft Wave 1a &amp; b summary evaluation evidence report by <b>March 2022</b></li> <li>- Final Wave 1a &amp; b summary evaluation report for acceptance</li> <li>- Draft Wave 2 summary evaluation evidence report by <b>May 2023</b></li> <li>- Final Wave 2 summary evaluation report for acceptance</li> <li>- Draft Wave 3 summary evaluation evidence report by <b>Feb 2024</b></li> <li>- Final Wave 3 summary evaluation report for acceptance</li> </ul>	<ul style="list-style-type: none"> <li>- Meeting to present the summary reports to the NPIF Evaluation Oversight Board</li> <li>- Meeting to present the final summary reports to the ISCF Steering Board</li> </ul>
<b>3. Analysis and Reporting</b>		

<p>Process Evaluation (July 2021 – Sept 2024)</p>	<ul style="list-style-type: none"> <li>- Draft <i>Process Evaluation</i> report for review <b>by September 2024</b></li> <li>- Final <i>Process Evaluation</i> report for acceptance.</li> </ul>	<ul style="list-style-type: none"> <li>- Meeting to present the process evaluation report to the NPIF Evaluation Oversight Board</li> <li>- Meeting to present the final process evaluation report to the ISCF Steering Board</li> </ul>
<p>Impact Evaluation (July 2021 – Dec 2024)</p>	<ul style="list-style-type: none"> <li>- Project plan update</li> <li>- Draft <i>Impact Evaluation</i> report for review <b>by December 2024</b></li> <li>- Final <i>Impact Evaluation</i> report for acceptance.</li> <li>- External Presentation to support the final learning event</li> <li>- Strategy of evaluation post ISCF Wave 1-3</li> </ul>	<ul style="list-style-type: none"> <li>- Meeting to present the draft impact evaluation report and evaluation post ISCF Wave 1-3 report to the NPIF Evaluation Oversight Board</li> <li>- Meeting to present the final impact evaluation report and evaluation post ISCF Wave 1-3 report to the ISCF Steering Board</li> <li>- Final learning event (a workshop or conference)</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.

Award Pass/fail criteria		
Questionnaire	Q No.	Question subject
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
-	-	Request for Proposal response – received on time within the e-sourcing tool
<p>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.</p>		

- 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.

Award Scoring criteria			
Evaluation Justification Statement			
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.			
Questionnaire	Q No.	Question subject	Maximum Marks
Price	AW5.2	Price	10%
Quality	PROJ1.1	Approach	35%
Quality	PROJ1.2	Staff to Deliver	25%

Quality	PROJ1.3	Understanding the Environment	20%
Quality	PROJ1.4	Project Plan and Timescales	10%

## 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: Score/Total Points multiplied by 50 (80/100 x 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>