

Invitation to Quote

**Invitation to Quote (ITQ) on behalf of the Department for Business,
Energy and Industrial Strategy (BEIS)**

**Subject UK SBS PS17033 UKRI Executive Search for the Chief
Finance Officer (CFO)**

Sourcing reference number PS17033

UK Shared Business Services Ltd (UK SBS)
www.uksbs.co.uk

Registered in England and Wales as a limited company. Company Number 6330639.
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VAT registration GB618 3673 25
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UKSBS

Shared Business Services

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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 our customers improve efficiency, generate savings and modernise.

It is our vision to become the leading provider for our customers 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 customers. 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 its customers, 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, Energy and Industrial Strategy (BEIS) 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 Customers.

Our Customers who have access to our services and Contracts are detailed [here](#).

Section 2 – About Our Customer

Department for Business, Energy & Industrial Strategy (BEIS)

The Department for Business, Innovation & Skills (BEIS) is the department for economic growth. The department invests in skills and education to promote trade, boost innovation and help people to start and grow a business. BEIS also protects consumers and reduces the impact of regulation.

BEIS is a ministerial department, supported by 47 agencies and public bodies.

Our priorities for 2016 to 2017 include:

- business and enterprise
- competitiveness and exports
- science and innovation
- apprenticeships and skills
- higher education
- labour markets

We have around 2,500 staff working for BEIS plus around 500 people working for UK Trade & Investment in the UK.

Our partner organisations include 9 executive agencies employing around 14,500 staff.

We have BEIS offices in London, Sheffield, Billingham, Cardiff, Darlington, Glasgow, Manchester, Nottingham, Runcorn and Watford.

Department for Business, Energy & Industrial Strategy achievements include:

- Funding 457,000 apprenticeship starts in 2010-11 Academic Year
- Committing £75 million to support innovation in technology-based SMEs
- Helping 25,000 UK businesses (mainly SMEs), employing over 13 million people, to make the most of opportunities for growth in overseas markets; Growth Accelerator is a new Department for Business funded-service to help up to 26,000 small and medium enterprises (SMEs) grow as much as they can over three years. Working with an experienced coach, businesses will receive a personalised growth plan, training and workshops, networking and peer to peer support. SMEs can also learn how to develop their leadership and management capability.
- With the Cabinet Office, leading the review of 1,200 regulations across Government as part of the Red Tape Challenge, more than half of which will be scrapped or improved.

<https://www.gov.uk/government/organisations/department-for-business-energy-and-industrial-strategy>

Section 3 - Working with UK Shared Business Services Ltd.

In this section you will find details of your Procurement contact point and the timescales relating to this opportunity.

Section 3 – Contact details		
3.1	Customer Name and address	Department for Business, Energy and Industrial Strategy (BEIS), 1 Victoria Street, London, SW1H 0ET
3.2	Buyer name	Ben Osborne
3.3	Buyer contact details	professionalservices@uksbs.co.uk
3.4	Estimated value of the Opportunity	£20,000 - £25,000 excluding VAT
3.5	Process for the submission of clarifications and Bids	All correspondence shall be submitted within the Emptoris e-sourcing tool. Guidance Notes to support the use of Emptoris is available here. 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.

Section 3 - Timescales		
3.6	Date of Issue of Contract Advert and location of original Advert	20/02/2017 Contracts Finder
3.7	Latest date/time ITQ clarification questions should be received through Emptoris messaging system	24/02/2017 11:00am
3.8	Latest date/time ITQ clarification answers should be sent to all potential Bidders by the Buyer through Emptoris	24/02/2017 14:00pm
3.9	Latest date/time ITQ Bid shall be submitted through Emptoris	28/02/2017 14:00pm
3.10	Date/time Bidders should be available if clarifications are required	Not Required
3.11	Anticipated rejection of unsuccessful Bids date	03/03/2017
3.12	Anticipated Award date	03/03/2017
3.13	Anticipated Contract Start date	06/03/2017
3.14	Anticipated Contract End date	30/06/2017
3.15	Bid Validity Period	60 Days

Section 4 – Specification

Introduction:

UK Research and Innovation (UKRI), is a new research and innovation body which will be set up to strengthen the strategic approach to future challenges and maximise value from government's investment of over £6bn per annum in research and innovation. It will deliver a strengthened, unified voice for the UK's research and innovation funding system, facilitating the dialogue with government and partners on the global stage. It will build on the UK's world class research and innovation performance enabling the system to respond rapidly and effectively to current and future challenges.

Delivering these benefits requires strong and empowered leadership within UKRI. The creation of UKRI will retain the key characteristics of the current system that have underpinned the UK's success, such as discipline leadership and autonomy, and dual funding. UKRI will provide strategic oversight of the functions of the seven Research Councils¹, Innovate UK, and the Higher Education Funding Council for England's (HEFCE) research and knowledge exchange funding functions (to be known as Research England). The UKRI Chief Finance Officer will be integral in ensuring the success of this new organisation.

Membership of the UKRI Board is a key issue for stakeholders during the passage of the Higher Education and Research Bill, and will be critical to ensuring the success of UKRI. The UKRI Board will consist of the Chairman, UKRI Chief Executive Officer, UKRI Chief Financial Officer (CFO) and 12 Non-Executive Directors. This campaign is specifically for the recruitment of the UKRI Chief Finance Officer.

Government are interested in candidates from the national and international field with the appropriate corporate governance skills and include high-quality scientific leaders familiar with the academic, philanthropic and business research communities.

Aims of the UKRI Chief Finance Officer

In their role as a member of the UKRI Board, the Chief Finance Officer (CFO) will contribute to key strategic and operational decisions, be a key part of UKRI's executive team, and lead on the implementation, introduction and management of UKRI's financial systems and processes.

Further information on the aims of the UKRI CFO can be found at Appendix A.

Essential criteria for the UKRI Chief Finance Officer

The Department for Business, Energy and Industrial Strategy wishes to attract the highest calibre of candidates for this pioneering role. It is expected that prospective applicants will have many of the following experiences and attributes:

- A CCAB, CIMA or overseas equivalent qualified accountant complying with relevant

¹ The Arts and Humanities Research Council (AHRC), the Biotechnology and Biological Sciences Research Council (BBSRC), the Engineering and Physical Sciences Research Council (EPSRC), The Economic and Social Research Council (ESRC), the Medical Research Council (MRC), the Natural Environment Research Council (NERC), and the Science and Technologies Facilities Council (STFC).

CPD requirements or with suitable alternative experience.

- Someone of high professional standing with experience across the research and innovation sector who can inspire teams and colleagues.
- A proven track record as the financial leader of a large and complex organisation.
- The ability to be on the senior management team of a global facing and world leading establishment.
- Significant commercial acumen, business knowledge and a strong understanding of financial management.
- The ability to drive the design, and successful implementation of effective and efficient processes whilst understanding where flexibility and fast-moving responsiveness is required.
- A strategic thinker with the ability to translate ideas and policy into action in the delivery of customer focused services.
- Understanding and relevant experience of the political sensitivities and the working of both government and its partners and customers.
- Demonstrate an understanding and commitment of the values of accountability, probity, openness and diversity. A significant grasp of public accountability and the associated obligations would be desirable.

Scope

The appointed search and recruitment firm will be required to deliver search requirements for the vacancy in order for the successful applicant to be appointed no later than May/ June 2017.

This post is not currently regulated by the Commissioner for Public Appointments (OCPA). However, the campaign process will still aim to follow the best practice according to those appointment principles.

The job specification contains aspects which would usually be associated with a Chief Operating Officer (COO) role. The successful head hunters will need to identify candidates that can undertake the combined typical CFO and COO roles as fully described within the job specification (Annex A), as well as individuals that would only be suitable to undertake those roles typically associated with a CFO.

Further details on the role are set out in Appendix A.

Requirement:

The successful supplier shall be required to undertake the following work:

- Attend planning meetings and discuss search and campaign requirements with the Independent Panel Member(s), both appointment teams and other key stakeholders to agree the search, advertising strategies and timetable;
- Provide search and selection services ensuring a strong and diverse field of candidates;

- Give support and advice on the preparation of recruitment documents and ensure applicant packs are made available in alternative formats if requested;
- To respond to requests for applications via post and e-mail. To receive, log and acknowledge applications about the post and answer any queries by email or telephone;
- Advise on advertising text and negotiating with media on prices for placing external adverts, plus placing advert; and bringing the advert to the attention of names of potential applicants (the team are considering the following publications/websites for advertisements: Times Higher Education, The Guardian, The Economist and Jobs.ac.uk. Any other publications/websites which are relevant to the vacant position);
- The successful is expected to pay for all advertising costs.
- Provide weekly campaign updates and statistics on the search and selection, including diversity; and
- Attend a wash up meeting after the advertisement closes to discuss the pool of candidates and debrief.

Deliverables:

- Through executive search, suitably qualified, high calibre applicants are identified and drawn from a strong field applying for the vacancy;
- Advise on advertising text and negotiating with media on prices for placing external adverts, plus placing advert; and bringing the advert to the attention of names of potential applicants (the team are considering the following publications/websites for advertisements: Times Higher Education, The Guardian, The Economist and Jobs.ac.uk);
- Through executive search, of those applicants which declare their diversity information, we would expect the diversity profile of candidates to meet the Government's aspirations on diversity: 50% male and 50% female; 10% (BAME) Black, Asian and Ethnic Minority;
- All recruitment documents are accessible and professional;
- All contact made with applicants and potential applicants by the consultants is delivered professionally;
- Research is delivered to a high standard in the right format to meet both Departments' needs and delivered on time;
- The pre-sift process results in a strong field of applicants progressing through the recruitment process;
- The pre-sift results are accepted by the selection panel members as accurate against the agreed criteria;
- Diversity data is accurately recorded and applicants completed forms are submitted to both appointments team; and
- Ensure that the service is delivered on time and to a high standard with key stakeholders providing positive feedback on the consultant's added value.

You will be expected to:

- Keep in touch on a regular basis with the key contacts in the appointments team throughout the process and, if any issues arise, get in touch without delay so these can be resolved together;
- Update your contacts on a regular basis throughout the search period;
- Attend meetings when required;
- Have at least one meeting with senior stakeholders and keep in touch as required;

- Supply a list of applicants approached and provide a report on search activities and outcome. When undertaking the search and following up recommendations, to ensure that potential applicants understand that this is an open competition and that appointments are based on merit;
- Deliver the stages covered in the programme of work, in partnership with the points of contact in both appointment teams ensuring all recruitment documents have had the necessary clearance before they are used;
- Participate in an evaluation review at the end of the appointments process to share what went well and any areas identified for improvement;
- Be familiar with the Commissioner for Public Appointments Code of Practice April 2012 and the Cabinet Office Making and Managing Appointments, Best Practice Guidance;
- Retain key documents for the competitions, as required under the Commissioners Code and forward to both appointment teams;
- Handle sensitive personal data securely. You are asked to note that personnel working on this assignment should not hold any data of a personal nature relating to applicants on an unencrypted laptop, drive or memory stick;
- Head all documents / emails that contain information about applicants with the following protection marking “official sensitive”; and
- Ensure the quality of standards, as set out in your proposal, are delivered throughout this assignment.

Proposed project process timetable:

UKRI Chief Finance Officer recruitment –

- **Campaign to go live – March 2017**
- **Sift and interviews through – May 2017**
- **Candidates to meet BEIS Junior Minister – May/June 2017**
- **No.10 approval required – June 2017**
- **Appointment to be confirmed – June 2017**

You will be working primarily with a named contact from the BEIS public appointment teams, who will be responsible for:

- contract management of the search and recruitment consultancy, ensuring the campaign delivers its key milestones and success criteria resulting in high calibre candidates appointed to the posts;
- project managing the campaign to ensure the campaign remains on track and any risks / issues are mitigated / addressed;
- working with the appointed consultants on the content of appointment documentation and advertising to ensure high quality of standards are delivered;
- working with the consultants on a targeted diversity campaign; and
- liaising with BEIS Minister’s offices, Parliamentary Unit and Communications as part of the appointments process.

The campaign will also be supported by colleagues from across the department who will carry out specific roles in the successful delivery of the campaign and appointment on-boarding. The appointments team will also be liaising closely with the relevant policy team throughout the campaign.

Terms and Conditions

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

the permitted clarification period.

Section 5 – Evaluation model

The evaluation model below shall be used for this ITQ, which will be determined to two decimal places.

Where a question is ‘for information only’ it will not be scored.

The evaluation team may comprise staff from UK SBS, the Customer and any specific external stakeholders UK SBS deem required. After evaluation the scores will be finalised by performing a calculation to identify (at question level) the mean average of all evaluators (Example – a question is scored by three evaluators and judged as scoring 5, 5 and 6. These scores will be added together and divided by the number of evaluators to produce the final score of 5.33 ($5+5+6 = 16 \div 3 = 5.33$))

Pass / fail criteria		
Questionnaire	Q No.	Question subject
Commercial	SEL1.2	Employment breaches/ Equality
Commercial	FOI1.1	Freedom of Information Exemptions
Commercial	AW1.1	Form of Bid
Commercial	AW1.3	Certificate of Bona Fide Bid
Commercial	AW3.1	Validation check
Commercial	AW4.1	Contract Terms
Quality	AW6.1	Compliance to the Specification
-	-	Invitation to Quote – received on time within e-sourcing tool

Scoring criteria			
Evaluation Justification Statement			
In consideration of this particular requirement UK SBS has decided to evaluate Potential Providers by adopting the weightings/scoring mechanism detailed within this ITQ. UK SBS 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	20%
Quality	AW6.2	Demonstrating expertise and resources to deliver the requirement.	30%
Quality	AW6.3	Methodology and Approach	50%

Evaluation of criteria

Non-Price elements

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.

Example if a Bidder scores 60 from the available 100 points this will equate to 12% by using the following calculation: Score/Total Points available multiplied by 20 ($60/100 \times 20 = 12$)

Where an evaluation criterion is worth 10% then the 0-100 score achieved will be multiplied by 10.

Example if a Bidder scores 60 from the available 100 points this will equate to 6% by using the following calculation: Score/Total Points available multiplied by 10 ($60/100 \times 10 = 6$)

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 the final score returned may be different as there may be multiple evaluators and their individual scores will be averaged (mean) to determine your final score.

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 $(60+60+40+40) \div 4 = 50$

Price elements will be judged 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 ($80/100 \times 50 = 40$)

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

Section 6 – Evaluation questionnaire

Bidders should note that the evaluation questionnaire is located within the **e-sourcing questionnaire**.

Guidance on completion of the questionnaire 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

What makes a good bid – some simple do's 😊

DO:

- 7.1 Do comply with Procurement document instructions. Failure to do so may lead to disqualification.
- 7.2 Do provide the Bid on time, and in the required format. Remember that the date/time given for a response is the last date that it can be accepted; we are legally bound to disqualify late submissions.
- 7.3 Do ensure you have read all the training materials to utilise e-sourcing tool prior to responding to this Bid. If you send your Bid by email or post it will be rejected.
- 7.4 Do use Microsoft Word, PowerPoint Excel 97-03 or compatible formats, or PDF unless agreed in writing by the Buyer. If you use another file format without our written permission we may reject your Bid.
- 7.5 Do ensure you utilise the Emptoris messaging system to raise any clarifications to our ITQ. You should note that typically we will release the answer to the question to all bidders and where we suspect the question contains confidential information we may modify the content of the question to protect the anonymity of the Bidder or their proposed solution
- 7.6 Do answer the question, it is not enough simply to cross-reference to a 'policy', web page or another part of your Bid, the evaluation team have limited time to assess bids and if they can't find the answer, they can't score it.
- 7.7 Do consider who your customer is and what they want – a generic answer does not necessarily meet every customer's needs.
- 7.8 Do reference your documents correctly, specifically where supporting documentation is requested e.g. referencing the question/s they apply to.
- 7.9 Do provide clear and concise contact details; telephone numbers, e-mails and fax details.
- 7.10 Do complete all questions in the questionnaire or we may reject your Bid.
- 7.11 Do check and recheck your Bid before dispatch.

What makes a good bid – some simple do not's 🙄

DO NOT

- 7.12 Do not cut and paste from a previous document and forget to change the previous details such as the previous buyer's name.
- 7.13 Do not attach 'glossy' brochures that have not been requested, they will not be read unless we have asked for them. Only send what has been requested and only send supplementary information if we have offered the opportunity so to do.
- 7.14 Do not share the Procurement documents, they are confidential and should not be shared with anyone without the Buyers written permission.
- 7.15 Do not seek to influence the procurement process by requesting meetings or contacting UK SBS or the Customer to discuss your Bid. If your Bid requires clarification the Buyer will contact you.
- 7.16 Do not contact any UK SBS staff or Customer staff without the Buyers written permission or we may reject your Bid.
- 7.17 Do not collude to fix or adjust the price or withdraw your Bid with another Party as we will reject your Bid.
- 7.18 Do not offer UK SBS or Customer staff any inducement or we will reject your Bid.
- 7.19 Do not seek changes to the Bid after responses have been submitted and the deadline for Bids to be submitted has passed.
- 7.20 Do not cross reference answers to external websites or other parts of your Bid, the cross references and website links will not be considered.
- 7.21 Do not exceed word counts, the additional words will not be considered.
- 7.22 Do not make your Bid conditional on acceptance of your own Terms of Contract, as your Bid will be rejected.

Some additional guidance notes

- 7.23 All enquiries with respect to access to the e-sourcing tool and problems with functionality within the tool may be submitted to Crown Commercial Service (previously Government Procurement Service), Telephone 0345 010 3503.
- 7.24 Bidders will be specifically advised where attachments are permissible to support a question response within the e-sourcing tool. Where they are not permissible any attachments submitted will not be considered.
- 7.25 Question numbering is not sequential and all questions which require submission are included in the Section 6 Evaluation Questionnaire.
- 7.26 Any Contract offered may not guarantee any volume of work or any exclusivity of supply.
- 7.27 We do not guarantee to award any Contract as a result of this procurement
- 7.28 All documents issued or received in relation to this procurement shall be the property of UK SBS.
- 7.29 We can amend any part of the procurement documents at any time prior to the latest date / time Bids shall be submitted through Emptoris.
- 7.30 If you are a Consortium you must provide details of the Consortiums structure.
- 7.31 Bidders will be expected to comply with the Freedom of Information Act 2000 or your Bid will be rejected.
- 7.32 Bidders should note the Government's transparency agenda requires your Bid and any Contract entered into to be published on a designated, publicly searchable web site. By submitting a response to this ITQ Bidders are agreeing that their Bid and Contract may be made public
- 7.33 Your bid will be valid for 60 days or your Bid will be rejected.
- 7.34 Bidders may only amend the Contract terms if you can demonstrate there is a legal or statutory reason why you cannot accept them. If you request changes to the Contract and UK SBS fail to accept your legal or statutory reason is reasonably justified we may reject your Bid.
- 7.35 We will let you know the outcome of your Bid evaluation and where requested will provide a written debrief of the relative strengths and weaknesses of your Bid.
- 7.36 If you fail mandatory pass / fail criteria we will reject your Bid.
- 7.37 Bidders are required to use IE8, IE9, Chrome or Firefox in order to access the functionality of the Emptoris e-sourcing tool.
- 7.38 Bidders should note that if they are successful with their proposal UK SBS reserves the right to ask additional compliancy checks prior to the award of any Contract. In the event of a Bidder failing to meet one of the compliancy checks UK SBS may decline to proceed with the award of the Contract to the successful Bidder.

- 7.39 All timescales are set using a 24 hour clock and are based on British Summer Time or Greenwich Mean Time, depending on which applies at the point when Date and Time Bids shall be submitted through Emptoris.
- 7.40 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, UK SBS 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 UK SBS during this Procurement. The information will not be disclosed outside Government. Bidders taking part in this ITQ consent to these terms as part of the competition process.

- 7.41 From 2nd April 2014 the Government is introducing 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>

UK SBS reserves the right to amend any security related term or condition of the draft contract accompanying this ITQ to reflect any changes introduced by the GSC. In particular where this ITQ 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

- [Emptoris Training Guide](#)
- [Emptoris e-sourcing tool](#)
- [Contracts Finder](#)
- [Tenders Electronic Daily](#)
- [Equalities Act introduction](#)
- [Bribery Act introduction](#)
- [Freedom of information Act](#)



Department for
Business, Energy
& Industrial Strategy

UK Research and Innovation

APPOINTMENT OF THE CHIEF FINANCE OFFICER

APPOINTMENT BRIEF

MARCH 2017

UK RESEARCH AND INNOVATION

The creation of UK Research and Innovation (UKRI) represents the largest reform of the research and innovation funding landscape in the last 50 years. As a new, independent, non-departmental public body, it will bring together the functions of the seven Research Councils², Innovate UK, and the research and knowledge exchange functions of the Higher Education Funding Council for England (HEFCE) (to be known as Research England). The Higher Education and Research Bill³ (HERB) is currently progressing through Parliament, and still subject to Parliamentary approval.

“To be inserted” – Sir Mark Walport, Chief Executive of UKRI

The new body will seek to maximise value from government’s investment in research and innovation of over £6bn per annum, and will advise the Secretary of State for Business, Energy and Industrial Strategy (SoS BEIS) on the balance of funding between research disciplines. It will lead the overall strategic direction of research and innovation funding in the UK. The Research Councils, Innovate UK, and Research England will continue to provide strategic leadership to their disciplines and thematic areas and continue to control their own delegated budgets and manage institutes and facilities. The CFO will: advise on key strategic and operational decisions, in their role as a member of the UKRI Board; and will be a key part of UKRI’s executive team, leading on the implementation, introduction and management of UKRI’s financial systems and processes; lead on the design and implementation of the corporates service function; as well as acting as the Deputy Chief Executive Officer of the organisation.

In order to ensure that UKRI is made up of Executives with the appropriate level of skills and experience, both UK nationals, and international candidates are encouraged to apply.

Applications are welcome from all, especially women, minority ethnic and disabled candidates who are under-represented at this level in public life.

Additional information on the creation of UKRI can be seen at Annex A, and:

Sir Paul Nurse’s review of the UK Research Councils, available at:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/478125/BIS-15-625-ensuring-a-successful-UK-research-endeavour.pdf

The Government’s White Paper, ‘Success as a Knowledge Economy’ available at:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/523546/bis-16-265-success-as-a-knowledge-economy-web.pdf

² The Arts and Humanities Research Council (AHRC), the Biotechnology and Biological Science Research Council (BBSRC), the Engineering and Physical Sciences Research Council (EPSRC), the Economic and Social Research Council (ESRC), the Medical Research Council (MRC), the Natural Environment Research Council (NERC), and the Science and Technology Facilities Council (STFC).

³ <http://services.parliament.uk/bills/2016-17/highereducationandresearch.html>

The Higher Education and Research Bill, available at:

<http://services.parliament.uk/bills/2016-17/highereducationandresearch.html>

Key responsibilities of the Chief Finance Officer during the transition period⁴

The key responsibilities of Chief Finance Officer in the transition period up to 31st March 2018 will be to:

1. Provide strategic and operational leadership on short and long-term strategic financial objectives, including on UKRI major projects, commercial and asset management; advising the CEO on the future direction of travel in relation to multi-disciplinary funds, new innovation funding programmes, the balance of quality related funding, and on the sustainability of the research base; and act as the Principal Finance Officer, being accountable to both the UKRI Chief Executive Officer as the Accounting Officer, and to the UKRI Board, as well as providing advice on all financial matters throughout the organisation.
2. Lead the formation and design of UKRI's corporate functions ensuring that the transition to a new operating model will preserve and build on the strengths of all the existing institutions. Providing motivational leadership throughout the transition and launch of UKRI, providing oversight to deliver the necessary transformation.
3. Oversee the work to transform business processes with the corporate functions of UKRI including the associated technology. Work with BEIS to provide transactional services for UKRI.
4. Lead on the development of UKRI's financial management, and risk assurance frameworks, working with the Chair of the Audit, Risk and Assurance Committee, and the associated activities required, working closely with BEIS.
5. Act as part of the UKRI Executive team to build effective relationships with key partners across the academic, business, charitable and government communities, promote the relevance and economic impact of UKRI's activities and build credibility and respect, including building collaborative relationships within BEIS.
6. Develop relationships with individual Councils that will be forming UKRI, and develop best practice and assurance processes to ensure effective and efficient use of UKRI resources.

⁴ The 'transition period' will be the time between being appointed, and UKRI being formally established on April 1st 2018.

Key duties/ objectives for the UKRI Chief Finance Officer from the launch of UKRI in April 2018

1. Provide strategic and operational leadership on short and long-term strategic financial objectives, including on UKRI major projects, commercial and asset management; advising the CEO on the development of multi-disciplinary funds, new innovation funding products, the balance of quality related funding, and on the sustainability of the research base. Act as the Principal Finance Officer for UKRI's growing budget in excess of £6bn per annum, being accountable to both the UKRI Chief Executive Officer as the Accounting Officer, and to the UKRI Board, as well as providing advice on all financial matters across the organisation.
2. Provide strategic and operational leadership for UKRI's corporate services function which will provide finance, HR, legal, commercial, grants administration and digital and data services for UKRI and work with the individual Councils to ensure that they are fully supported in relation to their delegated responsibilities. Ensure that UKRI is supported in the provision of transactional services and manage the relationship with UKSBS Ltd.
3. Ensure the delivery of the programme of work to transform business processes in the corporate services area so that UKRI has efficient and effective common processes, policies and procedures and has the technology it needs to support these.
4. To lead on the implementation and have oversight of UKRI's financial management, and risk and assurance frameworks, working closely with the Chair of the Audit, Risk and Assurance Committee, the Councils and BEIS.
5. Oversee and ensure all aspects of the Finance & Accounting functions of the organisation are undertaken and overseen at appropriate levels, to ensure financial stability, and that appropriate professional advice is available to the whole organisation to support delivery of its strategy. This will require collaborative relationships with individual Councils and their Executive Chairs to ensure best practice and assurance processes are in place.
6. To lead UKRI's professional finance function ensuring budgeting and payment systems are properly managed in accordance with the Framework Agreement with the Department for Business, Energy and Industrial Strategy (BEIS), Her Majesty's Treasury (HMT) and the National Audit Office (NAO) guidance and within schemes of delegated decision making agreed by the Board, as well as ensuring that effective internal controls are in place and are compliant with Managing Public Money.
7. To assess and actively manage both the Councils' delegated budgets and interdisciplinary funds available to UKRI following comprehensive spending reviews and grant announcements, providing advice to the CEO on UKRI's capital expenditure and asset accounting with a view to protecting and maximising UKRI's significant investments into science and technology infrastructure. To work closely with the CEO and Executive Team to advise government on the case for investment in research and innovation at key decision points such as leading up to fiscal events and funding allocations, as well as to identify and deliver efficiencies across the organisation.

8. As part of UKRI's Executive team, represent UKRI's strategic interest to key external stakeholders both at home and abroad.

Depending on the skills and experience of the successful applicant, the roles and responsibilities may be altered, with the remuneration package being altered to reflect this.

Person specification

The Department of Business, Energy and Industrial Strategy wishes to attract the highest calibre of candidates for this innovative role. It is expected that prospective applicants will have many of the following experiences and attributes:

1. A CCAB, CIMA or overseas equivalent qualified accountant complying with relevant CPD requirements or with suitable alternative experience
2. High professional standing with experience across the research and innovation sector who can inspire teams and colleagues
3. A proven track record as the financial and operational leader of a large and complex organisation
4. The ability to be on the senior management team of a global facing and world leading establishment
5. Significant commercial acumen, professional knowledge and a strong understanding of financial management
6. The ability to develop the design, and successful implementation of significant programmes of change to corporate services, understanding where flexibility and fast-moving responsiveness is required
7. A strategic thinker with the ability to translate ideas and policy into action in the delivery of customer focused services
8. Understanding and relevant experience of the political sensitivities and the workings of both government and its partners and customers
9. An understanding and commitment to the values of accountability, probity, openness and diversity. A significant grasp of public accountability and the associated obligations would be desirable.

Annex A: Background on the creation of UK Research and Innovation

The UK is recognised as a world leader in research and innovation. Our share of highly cited articles is second only to the US, and the UK has overtaken the US to rank first by field-weighted citation impact. The Global Innovation Index 2016 placed the UK as the third most innovative nation in the world. This strength in research and innovation is underpinned by an excellent funding system, which combines discipline leadership and autonomy, the dual funding system, and Innovate UK's business-focussed support.

Now more than ever it is important that research and innovation funding systems are able to provide their indispensable support to our research and innovation base. As these communities face new challenges and tackle ever more complex and multidisciplinary research questions, we need a strong and unified voice to represent their interests across government, across Europe and around the world.

The creation of UKRI will ensure that our research and innovation system is sufficiently strategic and agile to deliver national UK capability that drives discovery and economic growth, whilst maintaining the key characteristics of the current system that have underpinned the UK's success.

This new structure strengthens the UK's strategic approach to future challenges. It will enable a greater focus on cross-cutting issues, a strong and unified voice for the UK's research and innovation community on the global stage and more effective collaboration across disciplines and between the research base and business.

Annex B: Managing Public Money Annex 4.1 – Finance Directors

Finance Directors

It is government policy that all departments should have professional finance directors reporting to the permanent secretary with a seat on the departmental board, at a level equivalent to other board members. It is good practice for all other public sector organisations to do the same, and to operate to the same standards.

This annex sets out the main duties and responsibilities of finance directors.

The finance function

A4.1.1 The finance director of a public sector organisation should:

- be professionally qualified⁵;
- have board status equivalent to other board members;
- report directly to the permanent head of the organisation;
- be a member of the senior leadership team, the management board and the executive committee (and/or equivalent bodies).

A4.1.2 This demanding leadership role requires a persuasive and confident communicator with the stature and credibility to command respect and influence at all levels through the organisation. Its main features are described in A4.1A. Many of the day-to-day responsibilities may in practice be delegated, but the finance director should maintain oversight and control. In large part these duties consist of ensuring that the financial aspects of the accounting officer's responsibilities are carried through to the organisation and its arm's length bodies (ALBs) in depth.

A4.1.3 The finance function should maintain a firm grasp of the organisation's financial position and performance. Supporting the accounting officer, the finance director should ensure that there is sufficient expertise in depth, supported by effective systems, to discharge this responsibility and challenge those responsible for the organisation's activities to account for their financial performance. It is important that financial management is taken seriously throughout each public sector organisation.

⁵ The term professional finance director in this context means both being a qualified member of one of the five bodies comprising the Consultative Committee of Accounting Bodies (CCAB) in the UK and Ireland, i.e. the Chartered Institute of Public Finance and Accountancy, the Institute of Chartered Accountants in England and Wales, the Institute of Chartered Accountants of Scotland, the Institute of Chartered Accountants in Ireland, the Association of Chartered Certified Accountants, or having equivalent professional skills and/or qualifications; and having relevant prior experience of financial management in either the private or the public sector.

Financial leadership

A4.1.4 The finance director is responsible for leadership of financial responsibilities within the organisation and its ALBs. He or she should ensure that the information on which decisions about the use of resources are based is reliable. A4.2B explains some specific responsibilities of the role.

A4.1A: the role of the finance director

Governance

- financial leadership, both within the organisation and to its ALBs, at both a strategic and operational level
- ensuring sound and appropriate financial governance and risk management
- leading, motivating and developing the finance function, establishing its full commercial contribution to the business
- planning and delivering the financial framework agreed with the Treasury or sponsoring organisation against the defined strategic and operational criteria
- challenging and supporting decision makers, especially on affordability and value for money, by ensuring policy and operational proposals with a significant financial implication are signed-off by the finance function

Internal controls

- co-ordinating the planning and budgeting processes
- applying discipline in financial management, including managing banking, debt and cash flow, with appropriate segregation of duties
- preparation of timely and meaningful management information
- ensuring that delegated financial authorities are respected
- selection, planning and oversight of any capital projects
- ensuring efficiency and value for money in the organisation's activities
- provision of information and advice to the Audit Committee
- leading or promoting change programmes both within the organisation and its ALBs

External links

- preparing Estimates, annual accounts and consolidation data for whole of government accounts
- liaison with the external auditor
- liaison with PAC and the relevant Select Committee(s)

A4.1B: financial management leadership

- providing professional advice and meaningful financial analysis enabling decision makers to take timely and informed business decisions
- maintaining a long term financial strategy to underpin the organisation's financial viability within the agreed framework

- developing and maintaining an effective resource allocation model to optimise outputs
- ensuring financial probity, regularity and value for money
- developing and maintaining appropriate asset management and procurement strategies
- reporting accurate and meaningful financial information about the organisation's performance to ONS, parliament, the Treasury and the general public
- setting the strategic direction for any commercial activities
- acting as head of profession in the organisation

Internal financial discipline

A4.1.5 The finance director should maintain strong and effective policies to control and manage use of resources in the organisation's activities. This includes improving the financial literacy of budget holders in the organisation. Similarly, he or she should ensure that there are similar disciplines in the organisation's ALBs. These should all draw on best practice in accounting and respect the Treasury's requirements, including, where relevant, accounts directions. These responsibilities are described in A4.1C.

A4.1C: financial control

- enforcing financial compliance across the organisation while guarding against fraud and delivering continuous improvement in financial control
- applying strong internal controls in all areas of financial management, risk management and asset control
- establishing budgets, financial targets and performance indicators to help assess delivery
- reporting performance of both the organisation and its ALBs to the board, the Treasury and other parties as required
- value management of long term commercial contracts
- ensuring that the organisation's capital projects are chosen after appropriate value for money analysis and evaluation using the Green Book

A4.1.6 Individual finance director posts will of course have duties specific to their organisations and contexts in addition to those delineated in this annex. But all finance director posts should seek to operate to these standards as an essential minimum.