Mini Competition

Mini Competition against an existing Framework Agreement (MC) on behalf of UKRI- Research England

Subject Contracting Authority International landscape study: an exploration of research and innovation systems

Sourcing reference number CR18142

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Version 2.4

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 for 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 Contracting Authorities 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.

Growing from a foundation of supporting the Research Councils, 2012/13 saw Business Innovation and Skills (BEIS) transition their procurement to UK SBS and Crown Commercial Service (CCS) 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.

Contracting Authorities who have access to our services and Contracts are detailed here.

Version 2.4

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

UKRI- Research England

Research England is a new council within UK Research and Innovation, operating from April 2018. As a key component of the research funding system, Research England will oversee UK Research and Innovation's England-only functions in relation to university research and knowledge exchange. This includes providing grant funding to English universities for research and knowledge exchange activities; developing and implementing the Research Excellence Framework in partnership with the UK Higher Education funding bodies; overseeing the sustainability of the Higher Education research base in England; overseeing the £900 million UK Research Partnership Investment Fund; and the Higher Education Innovation Fund (HEIF).

https://re.ukri.org

Section 3 - Working with UKRI- Research England.

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	Contracting Authority (CA) Name and address	UKRI- Research England of, Nicholson House, Lime Kiln Close, Stoke Gifford, Bristol, BS34 8SR
3.2	Buyer name	Declan Ward
3.3	Buyer contact details	Research@uksbs.co.uk 01793 867005
3.4	Maximum value of the Opportunity	The maximum value of this opportunity is £40,000.00 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 will result in the Bid not being considered.**

Section 3 - Timescales		
3.6	Date of Issue of Mini Competition to all Bidders	01/10/2018
3.7	Latest date/time Mini Competition clarification questions shall be received through Emptoris messaging system	12/10/2018 at 14.00
3.8	Latest date/time Mini Competition clarification answers should be sent to all Bidders by the Buyer through Emptoris	16/10/2018 at 14.00
3.9	Latest date/time Mini Competition Bid shall be submitted through Emptoris	22/10/2018 at 14.00
3.10	Date/time Bidders should be available if clarifications are required	29/10/2018 - 30/10/2018

3.11	Anticipated selection and de selection of Bids notification date	31/10/2018
3.12	Anticipated Award Date	01/11/2018
3.13	Anticipated Contract Start Date	05/11/2018
3.14	Anticipated Contract End Date	28/02/2019
3.15	Bid Validity Period	60 Working Days
3.16	Framework and or Lot the Mini competition will be based on	CR150025BIS BEIS Research & Evaluation Framework- Lot 1

- ## **Section 4 – Specification**

1. Background

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 (UKRI) brings together the seven Research Councils[1], Innovate UK and a new organisation, Research England.

Through UKRI, the government is implementing the recommendations of the Nurse Review, led by Nobel Prize-winning scientist Sir Paul Nurse. The review panel's report called on government to "support the Research Councils to collectively make up more than the sum of their parts", and develop a "smoother pathway to more applied research". UKRI was a proposal of Part 3 of the Higher Education and Research Bill, which received Royal Assent on 27 April 2017. The Bill is now an Act of Parliament, and UK Research and Innovation was created in April 2018.

Research England

The Higher Education and Research Act 2017 established Research England as a Council of UK Research and Innovation (UKRI) alongside the other existing Councils (the seven Research Councils and Innovate UK).

Research England (RE) shapes healthy, dynamic research and knowledge exchange in English universities. We are responsible for funding, engaging with and understanding these institutions, and working with devolved funding bodies and the Office for Students to understand their strategies, capabilities and capacity. We support and challenge universities to create new knowledge, strengthen the economy, and enrich society. We distribute over £2.2 billion to universities in England every year, principally through quality-related research (QR) funding, and the Higher Education Innovation Fund, as well as c. £180m in formula-based research capital. We are responsible for administering the Research Excellence Framework, used to inform QR funding, and for delivering the forthcoming Knowledge Exchange Framework. We also support specific activities with dedicated project funding, including the £900m UK Research Partnership Investment Fund (UKRPIF), and the £100m Connecting Capability Fund.

Why this topic?

The Research Excellence Framework is a major exercise undertaken by the four UK higher education funding bodies; Research England (prior to 1 April 2018 the funding body for England was the Higher Education Funding Council for England); the Higher Education

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[1] The seven Research Councils refers to AHRC, BBSRC, EPSRC, ESRC, MRC, NERC and STFC - https://www.ukri.org/about-us/our-councils/

Funding Council for Wales; the Scottish Funding Council; and the Department for the Economy in Northern Ireland.

The UK is a world leader in national research assessment and is actively engaged with international colleagues in the global dialogue around approaches to the assessment of research. There is a diversity of approaches taken globally to the assessment and funding of research with a range of approaches and measure applied that are considered contextually appropriate to the research ecosystems they support. Work undertaken by the European Union provides a helpful introductory assessment to a number of systems and approaches however some further in-depth assessment would add value to policy and sector understanding of the global landscape.

2.	**Aims and Objectives of the Project**

This document invites tenders to undertake an examination of a selection of nations' approaches to research assessment and its relationship to funding. The study will take into account the role of governments, funders, universities, research organisations, and other funders of research in the national systems.

The study will build on Research Performance Based Funding Systems: a Comparative Assessment which provides an introductory assessment to a number of nations' systems. The sample of countries will include countries with close to equivalent systems to the UK, countries with very different but successful systems, and emerging research nations.

The purpose of this research is to address the following key questions**:**

- What is the range of research assessment approaches deployed by research active nations?
- What is the relationship between a nation's research assessment approach and funding?
- How are the approaches developed and evaluated?

The research sample should include: countries with similar systems to the UK; countries with systems that are successful but different to the UK; and systems developing in emerging research nations. The full list of nations to be examined will be selected in dialogue with the successful bidders and bidders should provide a preliminary list as part of their proposal. The sample should aim to capture the diversity of approaches globally and will not be restricted geographically. To inform the costings of the proposal we suggest a sample of 15-20 countries.

Researchers are asked to apply a range of methods including desk research, analysis of existing data and where appropriate, remote interviewing. The primary output will be a written report to Research England containing a clear assessment of the systems examined. The report will be published. Research England will work closely with the project team throughout and will require weekly updates by email or telephone as required updates on progress and findings.

3. Suggested Methodology

If applicable:	Insert numbers:
Total number of Participants (experimental design)	**N/A**
Total number of Interviews (survey)	**N/A**
Total number of Interviews (qualitative)	**If needed**
Total number of Focus Groups	**N/A**
Total number of Case Studies	**18-20**

Bidders are asked to design a methodology which combines desk-based research, analysis of existing data, and engagement with primary stakeholders through remote interviews, where appropriate. We do not expect the team to travel. It is expected that the research will explore the current literature taking account of existing work undertaken by the EU. It is expected that the successful bidder will build on work where it already exists, and the effort applied to each sample country should take account of this. The method will need to take account of the role of:

- Governments
- Funders
- Universities
- Research organisations
- Other funders

Stage	Description of research phases
Phase 1 Nov 5th – 19th 2018	- Inception meeting - Establish sample in collaboration with Research England - Initial review of publicly available literature and data for 2 sample countries to test and confirm the core questions
Phase 2 Nov 19th 2018-9th February 2019	- Undertake case studies for remaining sample countries - Review all sample countries and establish if qualitative follow up is required to fill gaps. - Interviews to be agreed with Research England - Provide draft report
Phase 3 Dec 1st 2018-9th February	- Undertake any necessary qualitative interviews.
Phase 4 9th-28th February 2019	- Synthesis and report writing - Final report for Research England sign off

Research questions

The contractor should design and implement a research study to examine:

- What are the range of research assessment approaches deployed by research active nations?
- What is the relationship between a nation's research assessment approach and funding?
- How are the approaches developed and evaluated?

Research questions which should be considered in the design of the study can be found below. We will also expect the tenderer to suggest questions to us that might need to be examined in the work and/or may arise from the information gathered, as deemed appropriate.

- What is the funding and assessment balance within the system?
- Who is responsible for the development and delivery of the research assessment process?
- Who is engaged in the development of the and delivery of the research assessment process?
- What is the role of consultation in the development of the research assessment process?
- How frequently is the assessment system subject to change?
- Does the system develop incrementally or is radical change a feature?
- What is the relationship between those running the assessment system and/or deploying the funding?
- What are the measures that are applied by the system?
- Where multiple measures are used, how are they balanced?

We ask that the research team consider the impact of the approaches they examine on the effectivemess of the research system.

4.	Deliverables

The external contractor will be expected to deliver the following mandatory key deliverables:

- Statement of work at commencement of the project outlining the work activities they will undertake, deliverables and timetable. This will be discussed and refined at the inception meeting which will be held week commencing 5 November 2018 in London/Bristol. It is a requirement that project work must begin 5th November 2018 . The overall project timeline will run for a maximum of 4 months (November 2018 to February 2019).

- Project plan complete with milestones and risk assessment, with levels of risk with owners identified and mitigating actions to address.

- Interview question scripts.

- Full draft report for review and sign off by Research England.

- A final report for review and sign off by Research England.

- Attendance at minimum three advisory discussion meetings (either in Bristol or London).

- Weekly progress reports by email or telephone as required which may include outcomes of early analysis and updates to risk register.

- The contractor will be expected to be regular in communication which will include email, telephone and face to face meetings as required, with the Research England Project Manager to ensure that objectives and milestones are being met and that the project is progressing as expected in terms of scope and time and to ensure that any potential issues or risks are identified, monitored and managed appropriately through an update of the risk register.

The report should include:

- Executive summary
- Literature review
- Method
- Analysis
- Conclusions
- List of interviewees
- Glossary (if appropriate)
- Original data file (if appropriate)

Section 5 – Evaluation of Bids

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

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

To maintain a high degree of rigour in the evaluation of your bid, a process of moderation will be undertaken to ensure consistency by all evaluators.

After moderation 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÷3 = 5.33)

Pass / fail criteria		
Questionnaire	**Q No.**	**Question subject**
Commercial	SEL3.12	Cyber Essentials
Commercial	SEL3.13	General Data Protection Regulations (GDPR)
Commercial	FOI1.1	Freedom of Information Exemptions
Commercial	AW1.1	Form of Bid
Commercial	AW1.3	Certificate of Bona Fide Bid
Commercial	AW4.1	Special Terms
Price	AW5.1	Maximum Budget
Price	AW5.5	E Invoicing
Price	AW5.6	Implementation of E-Invoicing
Quality	AW6.1	Compliance to the Specification
Quality	AW6.2	Variable bids
Quality	PROJ1.6	Capacity

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 Mini Competition. The Contracting Authority considers these weightings to be in line with the framework .

Questionnaire	Q No.	Question subject	Maximum Marks
Price	AW5.2	Price	20.00%
Quality	PROJ1.1	Approach	20.00%
Quality	PROJ1.2	Staff to Deliver	20.00%
Quality	PROJ1.3	Understanding the International Research Funding System Landscape	20.00%
Quality	PROJ1.4	Project Plan and Timescales	15.00%
Quality	PROJ1.5	Risk Management	5.00%

Evaluation of criteria

Non-Price elements

Non-Price (Quality) 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 = {weighting percentage} x {bidder's score} = 20% x 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 specific: questions will be marked based on the above mechanism. Please be aware that there may be multiple evaluators. If so, their individual scores will be averaged 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 be calculated as follows (60+40+80+60) ÷ 4 = 60

And

All the above **OR** specific: questions will be marked based on the above mechanism. Please be aware that there may be multiple evaluators. If so, their individual scores will be reviewed in an evaluator meeting, once the individual evaluations are complete and a consensus score will be agreed to determine your final score.

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 x 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

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. Responses received after the date indicated in the ITQ 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

7.3   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. Unless formally requested to do so by UK SBS e.g. Emptoris system failure

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 Mini Competition. You should note that 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 the Contracting Authority is and what they want
          A generic answer does not necessarily meet every Contracting Authority'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 and ideally generic contact details; telephone numbers, e-mail details.

7.10   Do complete all questions in the questionnaire or we may reject your Bid.

7.11   Do ensure that the Response and any documents accompanying it are in the English Language, the Contracting Authority reserve the right to disqualify any full or part responses that are not in English

7.12 Do check and recheck your Bid before dispatch.

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 Contracting Authority to discuss your Bid. If your Bid requires clarification the Buyer will contact you. All information secured outside of formal Buyer communications shall have no Legal standing or worth and should not be relied upon.

7.16　Do not contact any UK SBS staff or the Contracting Authority 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 the Contracting Authority 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, unless the Framework explicitly permits this.

7.23　Do not unless explicitly requested by the Contracting Authority either in the procurement documents or via a formal clarification from the Contracting Authority send your response by any way other than via e-sourcing tool. Responses received by any other method than requested will not be considered for the opportunity

7.23   All enquiries with respect to access to the e-sourcing tool and problems with functionality within the tool must be submitted to Crown Commercial Service (CCS – 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 as part of the evaluation process.

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 the Contracting Authority / UKSBS.

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 Mini Competition 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 during the clarification period only, if you can demonstrate there is a legal or statutory reason why you cannot accept them. If you request changes to the contract terms without such grounds and the Contracting Authority 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 the Contracting Authority 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 the Contracting Authority may decline to proceed with the award of the Call Off 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, 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. The information will not be disclosed outside Government. Bidders taking part in this Mini Competition consent to these terms as part of the competition process.

7.41   The Government is introducing its new Government Security Classifications (GSC) classification scheme on the 2nd April 2014 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 . The link below to the Gov.uk website provides information on the new GSC:

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

The Contracting Authority reserves the right to amend any security related term or condition of the draft contract accompanying this Mini Competition to reflect any changes introduced by the GSC. In particular where this Mini Competition 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