



# Mini Competition

**Mini Competition against an existing Framework Agreement (MC) on behalf of Innovate UK**

**Subject UK SBS Process Evaluation of Innovate UK's Catalyst Activities**

**Sourcing reference number FWRECR17079INN Lot 3**

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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 Innovation and Skills (BIS) transition their procurement to UK SBS and Crown Commercial Service (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

### Innovate UK

Innovate UK is the UK's innovation agency – driving innovation to boost economic growth. It works with people, companies and partner organisations to find and drive the science and technology innovations that will grow the UK economy.

Innovate UK is an organisation of around 300 staff, drawn mainly from business. It works across the UK, with a head office in Swindon.

With a strong business focus, Innovate UK drives growth by working with companies to de-risk, enable and support innovation. To do this, they work to:

- Determine which science and technology developments will drive future economic growth
- Meet UK innovators with great ideas in the fields they're focused on
- Fund the strongest opportunities
- Connect innovators with the right partners they need to succeed
- Help its innovators launch, build and grow successful businesses

Since 2007 Innovate UK has committed over £1.8 billion to innovation, matched by a similar amount in partner and business funding. It has helped more than 7,600 organisations with projects estimated to add more than £11.5 billion to the UK economy and create 55,000 extra new jobs.

## 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	Innovate UK, Polaris House, North Star Avenue, Swindon, Wiltshire, SN2 1FL
3.2	Buyer name	Liz Vincent
3.3	Buyer contact details	Research@uksbs.co.uk
3.4	Estimated value of the Opportunity	£166,000.00 excluding VAT
3.5	Process for the submission of clarifications and Bids	<p><b>All correspondence shall be submitted within the Emptoris e-sourcing tool. Guidance Notes to support the use of Emptoris is available <a href="#">here</a>.</b></p> <p><b>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></p>

Section 3 - Timescales		
3.6	Date of Issue of Mini Competition to all Bidders	21/07/2017
3.7	Latest date/time Mini Competition clarification questions should be received through Emptoris messaging system	04/08/2017 14:00hrs
3.8	Latest date/time Mini Competition clarification answers should be sent to all potential Bidders by the Buyer through Emptoris	09/08/2017
3.9	Latest date/time Mini Competition Bid shall be submitted through Emptoris	16/08/2017 14:00hrs
3.10	Anticipated rejection of unsuccessful Bids date	31/08/2017
3.11	Anticipated Award Date	31/08/2017
3.12	Anticipated Call Off Contract Start Date	04/09/2017
3.13	Anticipated Call Off Contract End	March 2018

	Date	
3.14	Bid Validity Period	60 Working Days
3.15	Framework and Lot the procurement should be based on	<b>BIS Research &amp; Evaluation Framework CR150025 LOT 3</b>

## Section 4 – Specification

### **Introduction**

Innovate UK and its partners are committed to collecting evidence to understand the effectiveness of their joint programme of support for academic and business innovation. Bids are invited for a process evaluation of three Catalyst Programmes in Industrial Biotechnology, Energy and Agri-tech<sup>1</sup>, to gain insight into the effectiveness of the approaches adopted and how best to deploy mechanisms of support in the future.

### **Background**

Catalysts are a form of Research & Development funding that focus on specific priority areas and aim to accelerate the translation of excellent UK research into commercial products and services. Innovate UK currently supports four Catalyst Programmes in collaboration with a number of partners:

- Industrial Biotechnology Catalyst (with the Engineering and Physical Sciences Research Council (EPSRC) and the Biotechnology and Biological Sciences Research Council (BBSRC))
- Energy Catalyst (with EPSRC, the Department for Business, Energy and Industrial Strategy (BEIS) and the Department for International Development (DFID))
- Agri-tech Catalyst (with BBSRC, BEIS and DFID)
- Biomedical Catalyst (with the Medical Research Council (MRC))

A process and impact evaluation of the Biomedical Catalyst is currently underway. This invitation to tender is for a process evaluation of the Industrial Biotechnology, Energy, and Agri-tech Catalysts, building new evidence from these three Catalysts, and drawing on findings from the on-going Biomedical Catalyst evaluation. The evaluation will be managed by Innovate UK, in consultation with its funding partners.

Innovate UK is the UK's national innovation agency. Its goal is to accelerate economic growth by stimulating and supporting business-led innovation. It is a business-led non-departmental public body set up in 2007. It works across the whole economy to fund and connect innovative businesses of all sizes who have the potential to grow through innovation. Further information on Innovate UK's objectives and programmes is available on its website <https://www.gov.uk/government/organisations/innovate-uk>, and the delivery plan for 2016-17 sets out its latest priorities here:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/514838/CO300\\_Innovate\\_UK\\_Delivery\\_Plan\\_2016\\_2017\\_WEB.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/514838/CO300_Innovate_UK_Delivery_Plan_2016_2017_WEB.pdf)

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<sup>1</sup> Further details on the Catalysts are provided in Annex 1

EPSRC funds research and training in engineering and the physical sciences, investing in a broad range of subjects - from mathematics to materials science, and from information technology to structural engineering. EPSRC is a non-departmental public body principally funded through the Science Budget by the Department for Business, Energy & Industrial Strategy (BEIS). Further information about EPSRC is available on its website <https://www.epsrc.ac.uk> For more information on its priorities and strategy, see the [Strategy and Delivery Plan](#)

BBSRC invests in bioscience research and training on behalf of the UK public. Funded by Government, BBSRC supports research and training in universities and institutes to meet major challenges, including food security, green energy and healthier, longer lives. Its investments underpin important UK economic sectors, such as farming, food, industrial biotechnology and pharmaceuticals. More information about BBSRC is available on its website <http://www.bbsrc.ac.uk> and in its latest Delivery Plan: <http://www.bbsrc.ac.uk/documents/delivery-plan-2016-20-pdf/>

The Department for Business Energy and Industrial Strategy ([BEIS](#)) is a ministerial department that brings together responsibilities for business, industrial strategy, science, innovation, energy, and climate change. It is supported by [46 agencies and public bodies](#).

The Department for International Development (DFID) leads the UK's work to end extreme poverty, tackling the global challenges of poverty and disease, mass migration, insecurity and conflict. More details are available in DFID's [Single Departmental Plan](#)

### **Requirement**

Bids are invited to conduct a process evaluation of the Industrial Biotechnology, Energy, and Agri-tech Catalysts and learn from the on-going Biomedical Catalyst evaluation, in order to examine the effectiveness of the different Catalyst models, and to inform the design and implementation of any new Catalyst activity. The evaluation will draw out lessons from the individual Catalysts, reflecting the diversity of approaches and communities, as well as synergies and common lessons from across all the Catalyst Programmes.

The evaluation will not, at this stage, assess impact, but will instead examine how the Catalysts are delivered, with a particular focus on whether improvements could be made to existing processes, where there might be scope for harmonised processes, and how best to support interaction between Research Councils and Innovate UK.

This process evaluation will provide timely evidence as to:

- Which aspects of the existing Catalyst processes are most effective;
- Whether any changes to processes could improve effectiveness and efficiency;
- The extent to which Catalyst processes support or inhibit pathways to future impact, and whether any improvements are needed;

- The broader factors and processes that support or inhibit the effectiveness of the Catalysts (e.g. the contexts and systems in which they operate);
- Synergies between Catalysts, and the potential for developing harmonised processes across different Catalyst models;
- Any lessons for the design or delivery of new Catalysts.

These are initial research questions, with a detailed set of research questions to be developed in collaboration with the relevant programme teams.

A final report for this evaluation will be delivered in March 2018

### **Suggested Methodology**

All proposals should follow best practice guidance in designing evaluations as set out in HM Treasury's Magenta Book. Proposals should clearly set out how the process evaluation of Catalysts will be delivered. It is anticipated that this project will include desk research, primary data collection (to include interviews and case studies with a range of Catalyst stakeholders and project applicants from all three Catalysts), secondary data analysis (including of Innovate UK internal data as well as third party data sources), and the delivery of a report for publication.

The winning proposal may be put to an external, independent peer review group of evaluation experts. The successful bidders will be expected to consider and, if appropriate, respond to any comments from peer reviewers. This process may be repeated with draft reports throughout the project and any published reports will have peer review comments published alongside them. The successful bidder will have an opportunity to make amendments or respond to comments before publication.

### **Data**

Innovate UK, BBSRC and EPSRC hold contact data for all applicants for funding who have:

- Registered an interest in the Catalysts but have not applied for support (Innovate UK only)
- Submitted an application for funding (both unsuccessful and successful applicants)

Details of the types of projects and applicants supported by the different Catalysts are provided in Annex 1.

The successful bidder will have access to:

- Information contained within the submitted proposals
- Information and metrics relating to independent assessment
- The close-out reports of completed Catalyst projects<sup>2</sup>
- The most recent reports available from the on-going Biomedical Catalyst evaluation

This data will be made available to the successful bidder, under a data sharing agreement with Innovate UK, EPSRC and BBSRC.

### **Deliverables**

Proposals should set out how they will deliver:

An initial, concise report setting out the milestones of the evaluation project, following an inception meetings (max. five pages)

An interim progress report (with details of progress against evaluation milestones, along with a summary of emerging findings) by November 2017

A final report of the full process evaluation by March 2018

The final report should include an executive summary and a PowerPoint version of key points. Any analysis carried out for the report must be clearly set out in the report although this can be contained in a technical annex. The main body of the report should be concise and clear, and understandable by non-technical readers. Case studies from all three Catalysts should be written up in full, and proposals should set out the number, format and expected length of these case studies, as well as the proposed spread across the three Catalysts.

Data sets including all data collected and used in the evaluations must be provided alongside the reports. It is anticipated that most of the data will not be anonymised, and will be provided to the Economics and Performance team at Innovate UK with business identifiers included. The future use of this data will be restricted to research and evaluation, and such assurances will be given to businesses responding.

Where data does need to be anonymised, the contractor will be expected to conduct the anonymisation and provide the dataset alongside the other deliverables. For non-

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<sup>2</sup> It should be noted that projects are on-going and a relatively small percentage will have finished in time for analysis to be conducted for the interim and potentially final reports.

anonymised data, unique identifiers should be included to enable matching to Innovate UK data. Any code used to develop analysis should also be provided, in a suitable format, to enable findings to be verified.

## 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 ( $5+5+6=16\div3=5.33$ ))

Pass / fail criteria		
Questionnaire	Q No.	Question subject
Commercial	FOI1.1	Freedom of Information Exemptions
Commercial	AW1.1	Form of Bid
Commercial	AW1.3	Certificate of Bona Fide Bid
Commercial	AW1.4	Data Sharing
Quality	AW6.1	Compliance to the Specification
-	-	Invitation to Quote – received on time within e-sourcing tool

**The Response Question and Answer Document must be used by all tenderers to answer the PROJ (Quality Questions). This should then be uploaded as an attachment to PROJ1.1. This is the only document assessors will evaluate; any other method used by bidders to answer questions will not be evaluated. Scoring shall be based on 0-100 scoring methodology (as outlined below). Each question has a page limit and this should be adhered to. Any additional content provided beyond this will not be considered or scored during the evaluation process**

## 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 Mini Competition. 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	PROJ1.1	Approach	40%
Quality	PROJ1.2	Staff to Deliver	15%
Quality	PROJ1.3	Understanding the Environment	15%
Quality	PROJ1.4	Project Plan and Timescales	10%

## 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 will be multiple evaluators and their individual scores after a moderation process 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 50

Evaluator 4 scored your bid as 50

Your final score will  $(60+60+50+50) \div 4 = 55$

### 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:  $\text{Score/Total Points} \times 50$  ( $80/100 \times 50 = 40$ )

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

## **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.ukpbs.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 Mini Competition. 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 (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.
- 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 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 Special 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 Call Off 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 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, 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 Mini Competition 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 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](#)
- [Contracts Finder](#)
- [Tenders Electronic Daily](#)

- [Equalities Act introduction](#)
- [Bribery Act introduction](#)
- [Freedom of information Act](#)