



Department for
Energy Security
& Net Zero

Direct Award Specification

Research on Subsurface Heat Geospatial Platform

Direct Award to the British Geological Survey on satisfactory submission of a bid which fulfils the specification and quotation for the project.

Deadline for submission of proposal and quote: 5th June 2024 at 2pm.



Date: 22nd May 2024

The Department for Energy Security & Net Zero (referred throughout these documents as “DESNZ” or the “Department” collectively) wishes to commission the project: “Subsurface heat geospatial platform” to the British Geological Survey (referred throughout these documents as the “BGS”, the “contractor”, or the “bidder”). This document contains a specification for the project and all relevant declarations.

Enclosed are the following sections:

- Section 1 (page 6) Instructions and information on proposal submission
- Section 2 (page 11) Specification of Requirements
- Section 3 (page 24) Declarations to be submitted by the contractor.
 - Statement of non-collusion
 - Conflict of interest
 - Standard Selection Questionnaire
 - The General Data Protection Regulation Assurance Questionnaire for Contractors
 - Code of Practice for Research
- Annex A: Quotation for Project
- Annex B: Code of practice for research
- Annex C: Risk Register
- Annex D: Project Plan and Finance Table

Please submit your proposal and quotation by email to melanie.janssingh@energysecurity.gov.uk, sarah.robinson@energysecurity.gov.uk and bernadette.hughes@energysecurity.gov.uk.

I look forward to receiving your response.

Yours sincerely,

Sarah Robinson



Privacy Notice

This notice sets out how we will use your personal data, and your rights. It is made under Articles 13 and/or 14 of the General Data Protection Regulation (GDPR).

YOUR DATA

We will process the following personal data:

Names and contact details of employees involved in preparing and submitting the bid; names and contact details of employees proposed to be involved in delivery of the contract; names, contact details, age, qualifications and experience of employees are submitted as part of the proposal.

Purpose

We are processing your personal data for the purposes of the proposal and budget submission for the following specification.

Legal basis of processing

The legal basis for processing your personal data is processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the data controller, such as the exercise of a function of the Crown, a Minister of the Crown, or a government department; the exercise of a function conferred on a person by an enactment; the exercise of a function of either House of Parliament; or the administration of justice.

Recipients

Your personal data will be shared by us with other Government Departments or public authorities where necessary as part of project bid. We may share your data if we are required to do so by law, for example by court order or to prevent fraud or other crime.

Retention

Your bid will be retained for a period of 6 years from the date of contract expiry, unless the contract is entered into as a deed in which case it will be kept for a period of 12 years from the date of contract expiry.



YOUR RIGHTS

You have the right to request information about how your personal data are processed, and to request a copy of that personal data.

You have the right to request that any inaccuracies in your personal data are rectified without delay.

You have the right to request that any incomplete personal data are completed, including by means of a supplementary statement.

You have the right to request that your personal data are erased if there is no longer a justification for them to be processed.

You have the right in certain circumstances (for example, where accuracy is contested) to request that the processing of your personal data is restricted.

You have the right to object to the processing of your personal data where it is processed for direct marketing purposes.

You have the right to object to the processing of your personal data.

INTERNATIONAL TRANSFERS

Your personal data will not be processed outside the UK/EEA.

COMPLAINTS

If you consider that your personal data has been misused or mishandled, you may make a complaint to the Information Commissioner, who is an independent regulator. The Information Commissioner can be contacted at:

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF
0303 123 1113
casework@ico.org.uk

Any complaint to the Information Commissioner is without prejudice to your right to seek redress through the courts.



Department for
Energy Security
& Net Zero

CONTACT DETAILS

The data controller for your personal data is the Department for Energy Security & Net Zero (DESNZ).

You can contact the DESNZ Data Protection Officer at: DESNZ Data Protection Officer, Department for Energy Security & Net Zero, 3-8 Whitehall Place, London, SW1A 2EG. Email: dataprotection@DESNZ.gov.uk.



Section 1

Instructions and Information on project bid and quote submission

Specification: Research on Subsurface Heat Geospatial Platform
Deadline for submission: 24th May 2024 at 2pm



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A. Indicative Timetable

The anticipated timetable for this procurement exercise is as follows. The Department reserves the right to vary this timetable. Any variations in timeframes the contractor will be notified directly.

Timeline	Date
Specification sent out	22 nd May 2024
Deadline for receipt of project proposal and providing a quote	5 th June 2024 at 1400
Contract award on signature by both parties	11 th June 2024
Contract start date	12 th June 2024
Contract End Date	31 st March 2025

The contract is to be for a period of 10 months unless terminated or extended by the Department in accordance with the terms of the contract.

B. Procedure for submitting your bid and quotation.

The maximum page limit for your bid is 11 pages plus Annex A, C, D and optional Gantt chart.

Please email your bid before the deadline to melanie.janssingh@energysecurity.gov.uk, sarah.robinson@energysecurity.gov.uk and bernadette.hughes@energysecurity.gov.uk. For questions regarding the procurement process please contact bernadette.hughes@energysecurity.gov.uk.

The Department shall have the right to disqualify you from the procurement if you fail to fully complete your response, or do not return all of the fully completed documentation and declarations requested in this specification. The Department shall also have the right to disqualify you if it later becomes aware of any omission or misrepresentation in your response to any question within this specification. If you require further information concerning the process, or the nature of the proposed contract email bernadette.hughes@energysecurity.gov.uk.

You will not be entitled to claim from the Department any costs or expenses that you may incur in preparing your bid and quotation whether or not the contract is awarded successfully.

C. Conflict of Interest

The Cabinet Office Mid-Tier Contract terms and conditions include reference to conflict



of interest and require contractors to declare any potential conflict of interest to the Secretary of State.

For research and analysis, conflict of interest is defined by the presence of an interest or involvement of the contractor, subcontractor (or consortium member) which could affect the actual or perceived impartiality of the research or analysis.

Where there may be a potential conflict of interest, it is suggested that the consortia or organisation designs a working arrangements such that the findings cannot be influenced (or perceived to be influenced) by the organisation which is the owner of a potential conflict of interest. For example, consideration should be given to the different roles which organisations play in the research or analysis, and how these can be structured to ensure maintain an impartial approach to the project is maintained.

The process by which this is managed in the procurement process is as follows:

1. **During the procurement, organisations may contact DESNZ to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.**
2. **Contractor is asked to sign and return ‘Declaration 2’ to indicate whether or not any conflict of interest may be, or be perceived to be, an issue.** If this is the case, the contractor or consortium should give a full account of the actions or processes that it will use to ensure that conflict of interest is avoided. In any statement of mitigating actions, you are expected to outline how you propose to achieve a robust, impartial and credible approach to the research.
3. **When the bid is reviewed, this declaration will be subject to a pass/submit revision.** A submitted revision should be based upon the authority’s comments and suggested improvements..

Failure to declare or avoid conflict of interest at this or a later stage may result in the contract not being awarded, or in the Department exercising its right to terminate any contract awarded.

D. Evaluation of bid

The bid will be reviewed and, subject to your bid demonstrating how you will deliver all of the Departments desired outputs at the desired timeframe and to the stated budget, the contract will be awarded.

E. Terms and conditions applying to this Invitation

The Cabinet Office Mid-Tier Contract Terms and Conditions will apply to this contract.



These are available as an attachment to the email in which this invitation to submit a bid was enclosed.

F. Further Instructions to Contractor

The Department reserves the right to withdraw this contract opportunity without notice and will not be liable for any costs incurred by the contractor during any stage of the process. Contractor should also note that, in the event a bid is considered to be fundamentally unacceptable on a key issue, regardless of its other merits, the bid may be rejected. By issuing this invitation the Department is not bound in any way and does not have to accept the bid and reserves the right to accept a portion of the bid unless the contractor expressly stipulates otherwise in their proposal.

G. Checklist of Documents to be Returned

- Project Proposal (maximum 11 pages, excluding annexes and optional Gantt Chart)
- Quotation for project: Annex A – Pricing Schedule
- Declaration 1: Statement of non-collusion
- Declaration 2: Conflict of Interest
- Declaration 3: Standard Selection Questionnaire
- Declaration 4: The General Data Protection Regulation Assurance Questionnaire for Contractors
- Declaration 5: Code of Practice



Section 2

Specification of Requirements

Specification: Research on Subsurface Heat Geospatial Platform

Deadline for response: 5th June 2024 at 2pm



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1. Introduction and summary of project

There is significant potential for geothermal heat in the UK. Geothermal heat is a form of renewable energy that harnesses the Earth's internal heat to provide heating; geothermal energy can also be used to generate electricity and provide cooling. Geothermal heat is available year-round and could potentially meet all UK heat requirements renewably with minimal land use compared with wind and solar. However, the lack of operating geothermal sites in the UK has limited the available data for academics' and industry's capacity to estimate with confidence the technical viability and economic feasibility of geothermal in the UK.

This project aims to respond to Department of Energy Security and Net Zero (DESNZ) strategic objectives of decarbonising heat and power by 2050. Current strategy documents, e.g. the Heat and Buildings 2021 Strategy, promise to monitor developments of geothermal energy with the view to support it if cost effective¹. Geothermal has been shown to be cost effective in countries with similar geology such as France, where deep geothermal is 100-133 Eur/MWh, compared with 147-175 Eur/MWh for an individual air source heat pump².

This project seeks to fill key evidence gaps blocking the development of policy to advance geothermal heat in the UK. This work needs to be completed now as DESNZ refines its policy on renewable heat and aims to define its strategy by 2026³. The study will define zones in the UK where there are geothermal opportunities, some of which have been proved as technically viable opportunities, and could be included in heat network zoning policy, currently being developed by Heat Network policy teams.

For the purposes of this specification, the 'platform' referred to here is a 'web-based interface allowing interaction, interrogation and access to a range of geothermal data'

This project will develop an openly accessibly web-based platform which encapsulates publicly available geothermal data and has capabilities to interrogate and screen information to illustrate the technically viable opportunities for geothermal projects in the UK. This project will also include the incorporation of work done on the levelized cost of heat for geothermal by Arup, enabling the techno-economic viability in a number of geological settings to be demonstrated. The platform, commissioned with this project, will be a public facing platform. The platform will be used by policy makers, local authorities, scientists, developers and the general public to assess at pre-feasibility stage the potential for geothermal energy in their local area. An outcome of this work is to enable the Heat Networks policy and analysis teams to include geothermal energy in modelling and strategy development, through e.g.:

- Enabling Green Heat Network Fund analysts to better understand the potential of projects bidding for geothermal energy and will support the Heat Network Development Unit.
- Support the policy team in Clean Heat to develop a strategy on whether and how to support geothermal energy in the future.

¹ We will continue to monitor developments in geothermal heat in the UK and assess whether the technology provides a cost-effective option to help decarbonise heat. (p. 77 of Heat and Buildings 2021 Strategy)

² Couts des renouvelables et de recuperation en France – Donnees 2019

³ The Heat and Buildings 2021 Strategy sets out that key policy decisions on the role of heat networks, electrification of heat and hydrogen are to be taken by 2026.



- Unlock potential further uses cases of geothermal energy, such as direct air capture, or low temperature industrial processes.

This project is expected to take approximately 10 months (June 2024 to end of March 2025) and cost up to £201k excluding VAT.

The methods are expected to include data collection of existing data and tools that are openly accessible or could be made openly accessible into a metadata catalogue, development of information/screening layer(s) and the development of a publicly accessible geospatial platform.

2. Background

Data that is needed to evaluate subsurface heat projects in the UK exists; this includes geoscientific data, surface data, regulatory data, maps, models and interpreted products. There are also four active deep geothermal subsurface heat projects in the UK, one project not currently producing and tens of thousands of shallow ground source heat projects. However, not all this data and related information is available open source and is not located in one easily accessible metadata catalogue.

The Deep Geothermal Energy White⁴ Paper published last year highlighted that in other countries, for example the Netherlands, government support accompanied by long-term availability of data has contributed to the increase in subsurface heat projects. The Geothermal Energy White Paper also identified that the technical and economical potential for subsurface geothermal was uncertain, contributing to projects not proceeding past the feasibility stage. A centralised open access geospatial platform which helps end users identify areas for subsurface heat opportunities and access all the data publicly available, will unlock the UK's potential for geothermal as a natural heat source and point towards geothermal for power opportunities.

Feedback from the market was also clear that there is a need for access to different geothermal data for different users in order to evaluate subsurface heat projects. Three different types of data were identified: this includes raw data (e.g. raw borehole data), interpolated data (e.g. thermal conductivity estimates), and higher level "comparative" data.

3. Aims and Objectives

The research questions the project aims to answer are:

- What are the technically feasible opportunities of geothermal energy across the UK?
- What is the economic viability of geothermal energy at certain locations across the UK?
- How could data encourage the consideration of geothermal energy, and how might developers or local authorities access a platform to improve consideration of geothermal energy at pre-feasibility stage for heat network projects?

⁴<https://www.northeastlep.co.uk/wp-content/uploads/2023/07/The-case-for-deep-geothermal-energy-%E2%80%93-unlocking-investment-at-scale-in-the-UK.pdf>



- What further data collection requirements are necessary to support the geothermal industry?

The objectives of this research are to:

1. Develop a specific list of existing data and tools that are openly accessible or could be made openly accessible to be integrated into the geospatial platform.
2. Develop a metadata catalogue which holds “raw” (geoscientific, environmental) and “interpreted” (modelled/interpolated) data or APIs of “raw” and “interpolated” data which is publicly available on other platforms.
3. Develop a new information/screening layer(s) to determine technically viable opportunities across the UK and the economic feasibility in certain locations for use by Heat Network Zoning team.
4. Develop a publicly accessible geospatial platform which should include the information from objective 2 and 3.
5. Understand the measurable platform-usage metrics to understand sector engagement and user value, and to establish future funding options.

4. Outputs Required

The Department as part of this project should receive the following outputs. These outputs are to be costed to a fixed price per output in the quotation to be submitted.

Output 1	Development of specific list of existing data and tools that are openly accessible or could be made openly accessible to be integrated into the SHGP, including parameters indicating the ease of access, location of source data and data owners.
Output 2	<p>Web based platform which holds “raw” (geoscientific, environmental) and “interpreted” (modelled/interpolated) data or APIs of “raw” and “interpolated” data which is publicly available on other platforms. Data to be included can be used to make an assessment of the pre-feasibility of utilising the subsurface as a heating or cooling source.</p> <p>A metadata catalogue is to be created which includes information about publicly available subsurface data and tools and forms the ‘data architecture’, linking to geospatial information sources in the webmap interface. Data from NSTA, EA etc will be linked via an API where available. When it is not possible to access the data or the tool directly currently, placeholders and a development pipeline should be produced. The type of “raw” or “interpreted” data should include, but not be limited to, thermal conductivity of the subsurface, areas with geothermal potential based on geology, publishing BGS data, EA groundwater data. Alternatively, if the data is currently too commercially</p>



	<p>sensitive to share publicly, the platform should hold metadata explaining what type of information is available, and where the data is held.</p> <p>Metadata should include information relating to spatial coverage and resolution of the data:</p> <ul style="list-style-type: none">• At national scale (e.g. national conductivity estimates)• At different scales from 1:250,000 and greater but will vary depending on the type of data and sensitivity of the data. Some data may be available at finer scales.• At point locations (e.g. locations of boreholes)
Output 3	<p>New information/screening layers to determine technically viable opportunities across the UK and the economic feasibility in certain locations for use by Heat Network Zoning team.</p> <p>Development of an information/screening layer which presents geothermal technically feasible opportunity on the interactive public facing platform, with clear labels of confidence in data, and disclaimers of data quality. This should build on outputs developed from existing screening and opportunity tools (e.g. the open-loop GSHP tool developed by BGS, the ESC-BGS-NHS tool for specific locations, extent of deep geothermal plays GSEU project). This part of the project will also involve some new analysis to transform current interpreted outputs into estimates of extractable heat (e.g. MW capacity: for the areas where the underlying geoscientific data allows) and economic viability (compared with a counterfactual, e.g. a large air source heat pump), for various geothermal technologies (shallow open loop, shallow closed loop, hydrothermal doublet).</p> <p>The outputs of the screening tool will provide:</p> <ul style="list-style-type: none">• Total peak capacity of heating supply (kWp)• Total annual energy capacity of heating supply (kWh)• Supply primary water temperature• Assumed top up HP low temperature <p>The screening potential will depend on the location and data quality, and may take the form of a range, be for a larger area (e.g. a Hex grid) and will be presented with visual cues to illustrate uncertainty and potential. Where there is not data available, more generalised statements will be given, for examples opportunity for deep geothermal in granite would be high/med/low.</p> <p>BGS with liaise with Arup using the levelized cost of heat and power from that Arup have produced to development a methodology and outputs for £/MWh for geothermal heat to point towards economic feasibility for certain sites across the UK. This levelized cost data will</p>



	be integrated into the information/screening layers to potentially point towards the economic feasibility (£/MWh) of geothermal opportunity in certain settings and locations in the UK. This will be provided with a CAPEX (£ and £/kWp) and OPEX (£/year and £/kWh/year).
Output 4	<p>Publicly accessible geospatial platform.</p> <p>The information from outputs 2 and 3 should be presented in a tool which enables:</p> <ul style="list-style-type: none">• Visualising via an interactive map (to a resolution of 1:50,000) of the various data components.• Identification and downloading of available data, or relevant metadata (where download is unavailable due to IPR)• Different user profiles will be created to allow varying levels of access to data if necessary.
Output 5	<p>Guidance document and webinar for platform.</p> <p>A short (around 4-pages) “how-to” guide on how to use the platform aimed at the wider user base (other policy areas not including the Heat Network Teams, local authorities, potential developers and funders of heat network projects).</p> <p>A recorded 1-hour webinar on use of the platform.</p>
Output 6	<p>A report for the Heat Networks Policy team on how to use the tool for mapping future opportunity areas for geothermal energy in the UK (e.g using the outputs for opportunity mapping).</p> <p>This report should provide clear explanation of how the heat potential was modelled and should be concise.</p>
Output 7	<p>A short report (around 4-pages) outlining the measurable platform-usage metrics to understand sector engagement and user value, and to establish future funding options.</p>
Output 8	<p>A short report (around 4-pages) on publishing data from potential data sharing obligations.</p> <p>To consider mechanisms for data deposit, addition to dataset and dissemination, should geothermal data sharing obligations come into force.</p>
Output 9	<p>Presentation material.</p> <p>Develop material to present the platform at conferences and events, for use both by BGS and DESNZ officials. This could include a short (30s) video demo.</p>



Output 0	<p>Project management.</p> <p>Contractual and IPR arrangements (e.g. datasets from outside BGS)</p> <p>Weekly meetings at the project start, switching to bi-weekly after the 1st August.</p> <p>Review meetings with the steering board at key milestones as indicated in the contract management section of the Mid-Tier Terms and Conditions.</p>
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5. Ownership and Publication

The geospatial platform, including the metadata catalogue, interactive visual tool, and screening/information layer(s) (Output 1, 2, 3 and 4) will be displayed on BGS website and be integrated into an openly accessible and public facing geospatial platform. The final outputs (i.e. the final values, not including any underlying models owned by BGS) produced in Outputs 3, 6, 7, 8 and 9 will be owned by DESNZ, and fully transferred to DESNZ upon completion at times agreed with DESNZ, and BGS will have non-exclusive access to these outputs. Output 1, 2, 4 and 5 will be owned by the BGS, but DESNZ will have non-exclusive access to these outputs. The outputs should be accessible, with two versions: one complete for DESNZ, and one non-disclosive and suitable for publication (where required) and further use. This is to include the data/information collected (where commercially allowable), the tool, the reports, non-disclosive infographics and publications.

DESNZ requests that:

- Where the contractor is using or building on top of existing IP, such as modules that interface with this model, or proprietary datasets, this must be explicitly stated in the project proposal response, and a mechanism identified for the proprietary components not to impact utilisation, further development, publication and use of the evidence produced for this project.
- Where open-source code or models are to be used within this model, please make clear under which licence this open-source software is released.
- The Open Government Licence should be used wherever possible:
<http://www.nationalarchives.gov.uk/doc/open-government-licence/version/2/>

6. Timetable

The timetable for deliverables must meet the following dates at the latest, but there is some flexibility around exact dates. If flexibility is needed, please include in the project proposal. Project kick off is subject to both parties, DESNZ and supplier, signing the contract and the supplier having satisfactorily passed due diligence.



The proposed dates are the latest possible dates the deliverable is expected to be received, with respect to the start date.

The delivery of the outputs to sufficient quality and on time is a contractual obligation to receive payment upon the related project payment milestones.

Deliverable	Date
Output 0: Project kick off, to include a presentation of project programme and discussion of governance.	Kick off meeting to take place by 15 th June 2024
Output 1: Development of specific list of existing data and tools that are openly accessible or could be made openly accessible to be integrated into the SHGP for integration.	31st July 2024
Output 2: Metadata catalogue which holds “raw” (geoscientific, environmental) and “interpreted” (modelled/interpolated) data or APIs of “raw” and “interpolated” data which is publicly available on other platforms.	15 th November 2024
Output 3: New information/screening layers to determine technically viable opportunities across the UK and the economic feasibility in certain locations	15 th February 2025
Output 4: Publicly accessible geospatial platform	15 th February 2025
Output 5: Guidance document and webinar	1 st March 2025 for review with final at the latest by 21 st March 2025
Output 6: Report for the Heat Networks Policy team on how to use the information/screening layers for mapping future opportunity areas for geothermal energy in the UK.	1 st February 2025 for review with final at the latest by 28 th February 2025
Output 7: Report for the measurable metrics and costs to keep tool going	1 st February 2025 for review with final at the latest by 28 th February 2025
Output 8: Report on publishing data from potential data sharing obligations.	First draft by 1 st September 2024 for review with final at the latest by 21 st December 2024
Output 9: Presentation material.	1 st March 2025 for review with final at the latest by 21 st March 2025

7. Proposal Request

Please provide a page maximum project proposal with up to 11 pages, which will deliver the



above defined outputs. The quotation for the project (Annex A), the risk register (Annex C), Project Plan and Finance table (Annex D) and if you wish, you can submit a Gantt Chart is in addition to these 11 pages. Your project proposal should include:

- A statement outlining that you confirm you can meet the requirements outlined in this specification to the timeline presented and within the maximum budget allocated.
- Approach and Methodology (up to 4 pages, including diagrams)
- Risk and mitigations (Risk register (Annex C), and a discussion of the rationale behind the risk register and risk management policy of up to 2 pages)
- Working arrangements (up to 2 pages)
- Quality Assurance (up to 1 page)
- Team to deliver (up to 2 pages)
- Budget (Annex A – Pricing Schedule) broken down by payment milestone (Annex D)

7.1. Approach and Methodology (up to 4 pages, including diagrams)

The approach and methodology is necessary to demonstrate how you will deliver each output (output 0-9 above) and how you can build upon the required outputs to deliver a Subsurface Heat Geospatial Platform which addresses the objectives of the project.

This section should include at a minimum:

- A brief explanation of the rationale of the project, and your understanding of how it fits within DESNZ priorities,
- A high-level approach, plan and methodology for delivering against each output specified above.
- Details of how you will prioritise and down select data and tools to be included on the platform (e.g. Stakeholder workshop).
- Details of how you will develop and test the platform functionality and ensure useability of the platform (e.g. Stakeholder workshop).
- Details of how you will develop the screening layer to provide inputs for the Heat Zoning Model
- Outline any methodological challenges.

7.2. Risks and Mitigations (Annex C and a response of up to 2 pages)

Please complete the risk register (Annex C) with the specification, and provide a discussion of up to 2 pages on the top 3 risks, and your approach to risk management and mitigation throughout the project. The risk management approach should indicate how you intend to keep track of project risks, the responsible owner of the risks, and how arising issues are managed.

We anticipate the following risks:



- The integration of data/information not IP of BGS: we expect a small amount of geothermal data/information to be included into the platform which is the IP of other organisations.
- The certainty associated with technically viable opportunities screening layer.
- Dissemination and stakeholder buy-in in a less understood landscape that geothermal energy currently sits within.
- The platform become increasingly complicated: the platform will be formed of multiple aspects and layers, which will include data and tools from different sources whilst also incorporating screening layer(s).
- Some data may be commercially sensitive.

7.3. Working arrangements (up to 2 pages)

Please explain your plans and expectations for the active delivery and management of this research project.

This should include:

- Identification of one named point of contact at the BGS through whom all enquiries can be filtered. A DESNZ Project Manager will be assigned to the project and will be the central point of contact.
- Weekly progress meetings (with slides) at the start of the project, switching to bi-weekly progress meetings (with slides) after the 1st August 2024.
- Resource management internally: please indicate how you will manage resource risks.
- Outline how external stakeholders will be engaged and managed.
- Provide a plan for reporting to the project management team on a regular basis.
- A Gantt Chart or equivalent project plan (submitted as an annex) demonstrating the estimated time required for each task, key dependencies, and the likely start and end dates of the tasks.
- Completion of the DESNZ Project Plan and Finance Tables (annex D, in addition to 2 page limit), indicating work packages, deliverables and associated payment milestones.
- If subcontracting, please indicate your proposed way of working with the subcontractors.

7.4. Quality Assurance (up to 2 pages)

All deliverables are to be quality assured prior to being delivered to DESNZ. Please outline what quality assurance process you have in place and how these will be applied to the outputs required for this research project.

The quality assurance should include:



- Details of how you will quality assure all outputs prior to submission to DESNZ for review.
- All analytical outputs must provide clear explanation of derivation process, assumptions and reasoning for choice of given assumption including the assumption source, units of measurement and any information necessary for a third-party analyst to be able to interpret outputs without the need to further contact those involved in the production of said outputs.
- Details of how you will take on board feedback from DESNZ and the Advisory board in the delivery of the outputs.

DESNZ expect outputs to be produced to sufficient quality to be signed off by DESNZ prior to any payment being made. Outputs will be signed-off based on the initial project plan. Outputs to be published (Output 5, 7 and 8) should be of sufficient standard for publication, although publication is not guaranteed.

As the platform is public facing and funded by government the platform will adhere to the [WCAG2.2 accessibility guidelines](#), which will be checked by the SICE project manager and the Digital team prior to being launched on the BGS website.

7.4. Team to deliver (up to 2 pages)

DESNZ would like you to demonstrate that you have the experience and capabilities to undertake the project. Your response should include the name, role, level of experience of each team member.

Your response should propose named members of the project team and include the tasks and responsibilities of each team member. This should be clearly linked to the work programme, indicating the grade/ seniority of staff and number of days allocated to specific tasks.

Please provide an organogram providing clearly labelled named individuals, and their role in the project team.

7.5. Budget

The budget for this project is up to £201,000 excluding VAT.

You should provide a full and detailed breakdown of costs in Annex A which will form your quotation for this project. This should include staff (and day rate) allocated to specific tasks. The contractor should also include in their budget a small amount of funds to be allocated to other organisations to enable the seamless integration of relevant geothermal information/data that is not yet publicly available.

Payments will be linked to successful delivery of milestones achieved based upon the projects deliverables as according to quality standards laid out in the specifications. Payments are conditional on the delivery of the required outputs. Project deliverables and payment milestone table will be agreed upon the start of the project. Please advise in your project proposal how this breakdown reflects your usual payment processes.



The Department aims to pay all correctly submitted invoices as soon as possible with a target of 10 days from the date of receipt and within 30 days at the latest in line with standard terms and conditions of contract.

8. Ethics

When undertaking stakeholder engagement, we expect contractors to adhere to the following [Government Social Research Principals](#):

1. Clear and defined public benefit
2. Sound application, conduct and interpretation
3. Data protection regulations
4. Specific and informed consent
5. Enabling participation
6. Minimising personal and social harm

9. Data protection

The Contractor will be compliant with the Data Protection Legislation, as defined in the terms and conditions applying to this Invitation to Tender. A guide to The General Data Protection Regulation published by the Information Commissioner's Office can be found [here](#).

The only processing that the Contractor is authorised to do is listed in Annex 1 by DESNZ, "the Authority" and may not be determined by the Contractor.

Annex 1: Processing, Personal Data and Data Subjects

(1) The contact details of the Authority's Data Protection Officer are:

DSIT/DESNZ Data Protection Officer
Department for Business, Energy and Industrial Strategy
1 Victoria Street
London
SW1H 0ET

Email: dataprotection@DESNZ.gov.uk

(2) The contact details of the Contractor's Data Protection Officer (or if not applicable, details of the person responsible for data protection in the organisation) are: **[To be completed by the Contractor]**



- (3) The Contractor shall comply with any further written instructions with respect to processing by the Authority.
- (4) Any such further instructions shall be incorporated into this Annex 1.

Description	Details
Subject matter of the processing	<p>The processing of names and business contact details of staff of both the Authority and the Contractor will be necessary to deliver the services exchanged during the course of the Contract, and to undertake contract and performance management.</p> <p>The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.</p>
Duration of the processing	<p>Processing will take place from 1st June 2024 for the duration of the Contract plus a 6-month retention period. The Contract will end on 31st March 2025.</p>
Nature and purposes of the processing	<p>The nature of the processing will include collection, recording, organisation, structuring, storage, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (and confirm whether the erasure or destruction will be by automated means) etc.</p> <p>Processing takes place for the purposes of research.</p> <p>The nature of processing will include the storage and use of names and business contact details of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the</p>



	names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.
Type of Personal Data	Names, business telephone numbers and email addresses, office location and position of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.
Categories of Data Subject	Staff of the Authority and the Contractor, including where those employees are named within the Contract itself or involved within contract management.
Plan for return and destruction of the data once the processing is complete UNLESS requirement under European member state law to preserve that type of data	Where Personal Data is contained within the Contract documentation, this will be retained in line with the Department's privacy notice found within the Invitation to bid on this specification.

DESNZ will be relying on consent as the relevant legal basis of processing. The Contractor will ensure that all communications requesting the provision on personal data allow for the data subject to provide clear, affirmative, informed, freely given and unambiguous consent, which requires a positive 'opt-in.' The Contractor will have mechanisms in place to ensure that consent is recorded and shown through an audit trail.

10. Cyber Security

In line with [HM Government's Cyber Essentials Scheme](#), the Contractor will hold valid Cyber Essentials certification or Cyber Essentials Plus by the time of contract award. Evidence of the certification must be provided to the Authority in order for the contract to be awarded.



Evidence of renewal of certification must then be provided to the Authority on each anniversary of the first applicable certificate obtained by the Contractor for the duration of the Contract. In the event the Contractor fails to comply, the Authority reserves the right to terminate the Contract for material breach in line with the Standard Terms and Conditions of Contract.

If the Contractor already holds ISO27001 accreditation, no further Cyber Essentials certification will be necessary provided that the certification body carrying out this verification is approved to issue a Cyber Essentials certificate by one of the accreditation bodies.

11. Evaluation of project proposal and quotation

The Department will award the contract if the proposals submitted meets the specification requirements outlined above, within the timeframe and budget limits.





Section 3

Declarations to be submitted by the contractor

Specification: Research on Subsurface Heat Geospatial Platform
Deadline for submission: 5th June 2024 at 2pm



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Declaration 1: Statement of non-collusion

To: Department for Energy Security & Net Zero

1. We certify that this bid has been not fixed or adjusted the amount of the bid or our rates and prices included therein by or in accordance with any agreement or arrangement with any other person.

2. We also certify that we have not done and undertake not to do at any time before the hour and date specified for the return of this proposal any of the following acts:

(a) communicate to any person other than the Department the amount or approximate amount of our bid, except where the disclosure, in confidence, of the approximate amount is necessary to obtain any insurance premium quotation required for the preparation of this bid;

(b) offer or pay or give or agree to pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person doing or having done or causing or having caused to be done, in relation to any other actual or bid for the contract any act, omission or thing of the kind described above.

3. In this certificate, the word “person” shall include any person, body or association, corporate or unincorporated; and “any agreement or arrangement” includes any such information, formal or informal, whether legally binding or not.

.....
Signature (duly authorised on behalf of the tenderer)

.....
Print name

.....
On behalf of (organisation name)

.....
Date



Declaration 2: Conflict of Interest

I have nothing to declare with respect to any current or potential interest or conflict in relation to this research (or any potential providers who may be subcontracted to deliver this work, their advisers or other related parties). By conflict of interest, I mean, anything which could be reasonably perceived to affect the impartiality of this research, or to indicate a professional or personal interest in the outcomes from this research.

Signed

Name

Position

OR

I wish to declare the following with respect to personal or professional interests related to relevant organisations*;

- X
- X

Where a potential conflict of interest has been declared for an individual or organisation within a consortia, please clearly outline the role which this individual or organisation will play in the proposed project and how any conflict of interest has or will be mitigated.

- X
- X

Signed

Name

Position

Please complete this form and return this with your bid documentation - Nil returns **are** required.

* These may include (but are not restricted to);



- A professional or personal interest in the outcome of this research
- For evaluation projects, a close working, governance, or commercial involvement in the project under evaluation
- Current or past employment with relevant organisations
- Payment (cash or other) received or likely to be received from relevant organisations for goods or services provided (Including consulting or advisory fees)
- Gifts or entertainment received from relevant organisations
- Shareholdings (excluding those within unit trusts, pension funds etc) in relevant organisations
- Close personal relationship or friendships with individuals employed by or otherwise closely associated with relevant organisations

All of the above apply both to the individual signing this form and their close family / friends / partners etc.

If your situation changes during the project in terms of interests or conflicts, you must notify the Department straight away.

A DECLARATION OF INTEREST WILL NOT NECESSARILY MEAN THE INDIVIDUAL OR ORGANISATION CANNOT WORK ON THE PROJECT; BUT IT IS VITAL THAT ANY INTEREST OR CONFLICT IS DECLARED SO IT CAN BE CONSIDERED OPENLY.



Declaration 3: Standard Selection Questionnaire

Financial Credit Checks:

DESNZ use Dun & Bradstreet to assist them with their financial due diligence and will request Dun and Bradstreet to provide comprehensive reports on the preferred bidder where the opportunity being contracted for exceeds £1M (excluding VAT).

DESNZ will review the Dun and Bradstreet report prior to notifying bidder of the result of the procurement and may need to check that the information within the report is correct. DESNZ may also request the latest accounts and financial information from the preferred bidder.

Suppliers assessed with a high financial risk status may not be awarded a contract at this stage we will revert to the bidder to discuss further.

Potential Supplier Information and Exclusion Grounds: Part 1 and Part 2.

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that none of the grounds for exclusion apply⁵. If any of the grounds for exclusion do apply, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

We require all the organisations that form part of your bidding group/consortium and each subcontractor that you are relying on to meet the selection criteria, to provide a completed Part 1 and Part 2. This means that where you are joining a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Subcontractors that you rely on to meet the selection criteria must also complete a self-declaration (although subcontractors that are not relied upon do not need to complete the self-declaration). A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusion grounds.

When completed, this form is to be sent back to the contact point given in the procurement documents along with the selection information requested in the procurement documentation.

Supplier Selection Questions: Part 3

The procurement documents will provide instructions on the selection questions you need to respond to and how to submit those responses. If you are bidding on behalf of a group/consortium or intend to use subcontractors, you should complete all the selection questions on behalf of the group/consortium and/or any subcontractors.

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay, we reserve the right to withdraw the bidder's proposal.

Consequences of misrepresentation

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences. You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into, you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your

⁵ For the list of exclusion please see

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf



responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

Notes for completion

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The authority recognises that arrangements set out in Section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of subcontractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. The authority may decline to consider bids (or otherwise exclude from participating in the procurement) from suppliers who are constituted or organised under the law of Russia or Belarus, or whose ‘Persons of Significant Control’ information states Russia or Belarus as the place of residency, unless the supplier (or any member of their supply chain they rely on to deliver the contract):
 - Is registered in the UK or in a country the UK has a relevant international agreement with reciprocal rights of access to public procurement; and/or
 - Has significant business operations in the UK or in a country the UK has a relevant international agreement with reciprocal rights of access to public procurement.
6. For Part 1 and Part 2 every member of your bidding group/consortium, and any subcontractor that is being relied on to meet the selection criteria, must complete and submit the self-declaration.
7. For the mandatory exclusion grounds only (Q2.1(a)), you must complete the declaration for all relevant persons and entities. There are two categories of persons and entities:



- members of your administrative, management or supervisory board;
- entities and persons who have powers of representation, decision or control.

You must decide, depending on the nature and structure of the entity or person who is bidding, which entities and persons this applies to in your particular circumstances. Clearly, members of your administrative, management or supervisory board should be easily identifiable and will cover company directors (or equivalent for other types of corporate entities) and members of an executive board.

The second category of those with powers of representation, decision or control, is likely to be more complicated. As an illustration, entities or persons with 25% or more shareholding (or equivalent for other types of corporate entities) are likely to have powers of representation, decision or control, although those with a lower shareholding may still have the relevant powers depending on their particular rights. Similarly, your ultimate parent company (or equivalent for other types of corporate entities) is likely to have powers of representation, decision or control. Depending on your particular structure, intermediate parent companies who do not have a direct shareholding, directors or members of an executive board of your immediate parent company (for example in the case of an SPV set up specifically to bid for a particular contract), and holders of mortgages or liens may be covered. It isn't necessary to identify which entities and persons you think are covered but you must be satisfied that your declaration is made in respect of all of those that are covered.

8. All subcontractors are required to complete their own Part 1 and Part 2⁶.
9. For answers to Part 3 - If you are bidding on behalf of a group/consortium, and/or any subcontractors, you should complete all of the questions on behalf of the group/consortium and/or any subcontractors, providing one composite response and declaration.

The authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

10. The Public Procurement Review Service allows government suppliers and potential government suppliers to raise concerns anonymously about unfair public sector procurement practice. The government can then investigate and resolve these concerns for contracting authorities as listed in Schedule 1 of the Public Contracts Regulations 2015. To use the Public Procurement Review Service, read the terms and email publicprocurementreview@cabinetoffice.gov.uk or phone 0345 010 3503.

Part 1: Your Information and the Bidding Model



You must answer all questions in Part 1 and Part 2, and ensure that every organisation on which you will rely to meet the selection criteria, completes and submits their own answers and declaration for Part 1 and Part 2.

You must also answer all questions in Part 3.

Section 1	Your Information	
Question number	Question	Response
1.1(a)	Name (if registered, please give the registered name)	
1.1(b) – (i)	Registered address (if applicable) or head office address	
1.1(b) – (ii)	Registered website address (if applicable)	
1.1(c)	Trading status a) - public limited company b) - private limited company c) - limited liability partnership d) - other partnership e) - sole trader f) - third sector g) - other (please specify your trading status)	
1.1(d)	Date of registration (if applicable) or date of formation	
1.1(e)	Registration number: company, partnership, charity etc. (if applicable)	
1.1(f)	Registered VAT number (if applicable)	
1.1(g) - (i)	Are you registered with the appropriate professional or trade register(s) specified for this procurement, in the country where your organisation is established?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>



1.1(g) - (ii)	<p>If you responded yes to 1.1(g) - (i), please provide the relevant details, including the name of the register and registration number(s) and, if evidence of registration is available electronically, please provide:</p> <ul style="list-style-type: none">- the website address;- issuing body;- reference number.	
1.1(h) - (i)	<p>For procurement of services only, is it a legal requirement, in the country where you are established, for you to:</p> <p>a) possess a particular authorisation; or b) be a member of a particular organisation, to provide the requirements specified in this procurement?</p>	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(h) - (ii)	<p>If you responded yes to 1.1(h) - (i), please provide the relevant details of what is required, confirmation that you have complied with this and, if evidence of compliance is available electronically, please provide:</p> <ul style="list-style-type: none">- the website address;- issuing body;- reference number.	
1.1(i)	<p>State whether you fall within one of these classifications and if so, which one:</p> <p>a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public Service Mutual</p>	
1.1(j)	<p>Are you a Small, Medium or Micro Enterprise (SME)⁷?</p>	Yes <input type="checkbox"/> No <input type="checkbox"/>

⁷ See EU definition of SME: <http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/>



1.1(k)	<p>Details of Persons with Significant Control (PSC), where appropriate: ⁸</p> <ul style="list-style-type: none">- Name;- Date of birth;- Nationality;- Country, EU state or part of the UK where the PSC usually lives;- Service address;- The date they became a PSC in relation to the company;- Which conditions for being a PSC are met:<ul style="list-style-type: none">- Over 25% up to (and including) 50%;- More than 50% and less than 75%;- 75% or more. ⁹ <p>(Please enter N/A if not applicable)</p>	
1.1(l)	<p>Details of your immediate parent company:</p> <ul style="list-style-type: none">- Full name of the immediate parent company;- Registered or head office address;- Registration number;- VAT number. <p>(Please enter N/A if not applicable)</p>	
1.1(m)	<p>Details of ultimate parent company:</p> <ul style="list-style-type: none">- Full name of the ultimate parent company;- Registered or head office address;- Registration number;- VAT number. <p>(Please enter N/A if not applicable)</p>	
<p>Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and all relevant persons and entities (as described above).</p>		

⁸ UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance.](#)

⁹ Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award.



Please provide the following information about your approach to this procurement:

Section 1 continued		Bidding Model	
Question number	Question	Response	
1.2	Indicate if you are bidding as a single supplier, or as part of a group or consortium	Single Supplier <input type="checkbox"/> Group / Consortium <input type="checkbox"/>	
1.2	If you are bidding as a single supplier, go to Q1.3. If you are part of a group or consortium (including where you intend to establish a legal entity to deliver the contract, or you are a subcontractor), please tell us:		
1.2(a)	Name of group or consortium		
1.2(b)	Proposed structure of the group or consortium, including legal structure where applicable		
1.2(c)	Name of lead member of group or consortium		
1.2(d)	Your role in the group or consortium (eg lead, consortium member, subcontractor)		
1.2(e)	If you are the lead of the group or consortium: are you relying on other members to meet the selection criteria (ie for economic and technical standing and/or technical and professional ability)? If so, which criteria are you relying on them for?	Yes <input type="checkbox"/> No <input type="checkbox"/> Criteria:	
1.3	Are you (or the group or consortium) proposing to use sub-contractors or a supply chain?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
If you responded yes to 1.3, please provide the details for all sub-contractors and supply chain members that are known at this stage as follows:			



1.3(a)	<ul style="list-style-type: none">- Full name;- Registration number;- Registered or head office address;- Trading status:<ul style="list-style-type: none">(a) – Public limited company;(b) – Private limited company;(c) – Limited liability partnership;(d) – Other partnership;(e) – Sole trader;(f) – Third sector;(g) – Other (please specify).- Registered VAT number;- SME (Yes/No);- The role each subcontractor will take in providing the deliverables;- The approximate % of contractual obligations assigned to each subcontractor;- Where the subcontractor is being relied on to meet the selection criteria, which criteria are you relying on them for?	
1.4	Lots Where applicable, please tell us which lot(s) you wish to bid for?	



Part 2: Exclusion Grounds

Please answer the following questions in full. Note that every organisation that forms part of your bidding group/consortium, as well as every organisation that is being relied on to meet the selection criteria (including subcontractors) must complete and submit responses to Part 1 and the declarations in Part 2.

Section 2	Grounds for Mandatory Exclusion	
Question number	Question	Declaration
2.1(a)	<p>Within the past five years, anywhere in the world, have you or any person who:</p> <ul style="list-style-type: none"> • is a member of the supplier's administrative, management or supervisory body; or • has powers of representation, decision or control in the supplier¹⁰; <p>been convicted of any of the offences given in the summary below, and listed in full at the end of Part 2?</p>	
	Participation in a criminal organisation	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	Corruption	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	Terrorist offences or offences linked to terrorist activities	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	Money laundering or terrorist financing	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	Child labour and other forms of trafficking in human beings	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction <u>outside</u> England, Wales or Northern Ireland	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

¹⁰ see Notes for Completion



2.1(b)	<p>If you have answered YES to any part of question 2.1(a), please provide further details:</p> <ul style="list-style-type: none">• Date of conviction and the jurisdiction;• Specify which of the grounds listed the conviction was for;• Give the reasons for conviction;• Identify who has been convicted; <p>If the relevant documentation is available electronically please provide:</p> <ul style="list-style-type: none">• the web address;• issuing authority;• precise reference of the documents;	
2.1(c)	<p>If you have answered YES to any part of question 2.1(a) above, please explain what measures have been taken to demonstrate your reliability, despite the existence of relevant grounds for exclusion? (Self Cleaning)</p>	

Section 3		Mandatory and Discretionary Grounds for Exclusion Relating to the Payment of Taxes and Social Security Contributions	
The detailed grounds for mandatory and discretionary exclusion of a supplier, for non-payment of taxes and social security contributions, are set out at the end of Part 2 below, and should be referred to before completing these questions.			
Question number	Question	Declaration	
3.1(a)	<p>Please confirm that you have met all your obligations relating to the payment of taxes and social security contributions, both in the country in which you are established, and in the UK.</p> <p>If documentation is available electronically please provide:</p> <ul style="list-style-type: none">• the web address;	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	



	<ul style="list-style-type: none">• issuing authority;• precise reference of the documents;		
3.1(b)	<p>If you have answered NO to 3.1(a) please provide further details including the following:</p> <ul style="list-style-type: none">• the Country concerned;• the Amount concerned;• how the breach was established, i.e. through a judicial or administrative decision, or by other means;• the Date of the decision, if the breach has been established through a judicial or administrative decision;• if the breach has been established by other means, please specify the means.		
3.2	<p>Please also confirm whether you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including, where applicable, any accrued interest and/or fines.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p>Please Note: We reserve our right to use our discretion to exclude your bid where we can demonstrate by any appropriate means that you are in breach of your obligations relating to the payment of taxes or social security contributions.</p>			

Section 4		Grounds for Discretionary Exclusion
<p>The detailed grounds for discretionary exclusion of an organisation are set out at the end of Part 2 below and should be referred to before completing these questions.</p>		
Question Number	Question	Declaration
4.1	Within the past three years, anywhere in the world, have any of the situations summarised below (and listed in full at the end of Part 2) applied to you?	
4.1(a)	Breach of environmental obligations? (Note this includes Health & Safety obligations)	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1 (b)	Breach of social law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/>



4.1 (c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(d)	Bankruptcy or subject of insolvency?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(f)	Distortion of competition?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(g)	Conflict of interest?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(i)	Prior performance issues?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(j)	Do any of the following statements apply to you?	
4.1(j) – (i)	You have been guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion, or the fulfilment of the selection criteria.	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(j) – (ii)	You have withheld such information	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(j) – (iii)	You are not able, without delay, to submit supporting documents when required under Regulation 59 of the Public Contracts Regulations 2015	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.1(j) – (iv)	You have undertaken to unduly influence the decision-making process of the contracting authority to obtain confidential information that may confer upon you undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Yes <input type="checkbox"/> No <input type="checkbox"/>



4.2	You are a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015 if you carry on your business, or part of your business, in the UK supplying goods or services and you have an annual turnover of at least £36 million. If you are a relevant commercial organisation, please:	
4.2(a) – (i)	Confirm whether you have published a statement as required by Section 54 of the Modern Slavery Act:	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.2(a) – (ii)	Confirm whether the statement complies with the requirements of Section 54:	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.3	If you have answered YES to any part of questions 4.1, or NO to question 4.2, please explain what measures have been taken to demonstrate your reliability despite the existence of a relevant ground for exclusion. (Self cleaning)	

Public Procurement Exclusion Grounds

Mandatory Exclusion Grounds

Listed in Public Contract Regulations 2015 (as amended) R57(1), (2) and (3) and the Public Contract Directives 2014/24/EU Article 57(1).

Participation in a criminal organisation

- ❖ Participation offence as defined by section 45 of the Serious Crime Act 2015
- ❖ Conspiracy within the meaning of:
 - section 1 or 1A of the Criminal Law Act 1977; or
 - article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983,where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime.

Corruption

- ❖ Corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;
- ❖ The common law offence of bribery;



- ❖ Bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010, or section 113 of the Representation of the People Act 1983.

Terrorist offences or offences linked to terrorist activities

- ❖ Any offence:
 - listed in section 41 of the Counter Terrorism Act 2008;
 - listed in schedule 2 to that Act where the court has determined that there is a terrorist connection;
 - under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by the previous two points.

Money laundering or terrorist financing

- ❖ Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002
- ❖ An offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996.

Child labour and other forms of trafficking human beings

- ❖ An offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;
- ❖ An offence under section 59A of the Sexual Offences Act 2003
- ❖ An offence under section 71 of the Coroners and Justice Act 2009;
- ❖ An offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994
- ❖ An offence under section 1, 2 or section 4 of the Modern Slavery Act 2015.

Non-payment of tax and social security contributions

- ❖ Breach of obligations relating to the payment of taxes or social security contributions that has been established by a judicial or administrative decision.
- ❖ Where any tax returns submitted on or after 1 October 2012 have been found to be incorrect as a result of:
 - HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle; or



- a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or “Halifax” abuse principle;
- a failure to notify, or failure of an avoidance scheme which the supplier is or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS) or any equivalent or similar regime in a jurisdiction in which the supplier is established.

Other offences

- ❖ Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales and Northern Ireland.
- ❖ Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland.

Discretionary Exclusions Grounds

Listed in Public Contract Regulations 2015 (as amended) R57(8) and the Public Contract Directives 2014/24/EU Article 57(4).

Obligations in the field of environment, social and labour law.

- Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Directive (see copy below) as amended from time to time; including, but not limited to, the following:-
 - In the last 3 years, where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body).
 - In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination.
 - In the last three years where the organisation has been convicted of a breach of the Health and Safety legislation.
 - In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).
 - Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;
 - Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;



- Where the organisation has been in breach of the National Minimum Wage Act 1998.

Bankruptcy, insolvency

- Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State.

Grave professional misconduct

- Guilty of grave professional misconduct

Distortion of competition

- Entered into agreements with other economic operators aimed at distorting competition.

Conflict of interest

- Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure

Been involved in the preparation of the procurement procedure.

- Advised the contracting authority or contracting entity or otherwise been involved in the preparation of the procurement procedure.

Prior performance issues

- Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions.

Misrepresentation and undue influence

- The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award, or withheld such information or is not able to submit supporting documents required under regulation 59.

Breach of obligations relating to the payment of taxes or social security contributions.

- The contracting authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

Additional grounds

ANNEX X Extract from Public Procurement Directive 2014/24/EU



LIST OF INTERNATIONAL SOCIAL AND ENVIRONMENTAL CONVENTIONS REFERRED TO IN ARTICLE 18(2) —

- ILO Convention 87 on Freedom of Association and the Protection of the Right to Organise;
- ILO Convention 98 on the Right to Organise and Collective Bargaining;
- ILO Convention 29 on Forced Labour;
- ILO Convention 105 on the Abolition of Forced Labour;
- ILO Convention 138 on Minimum Age;
- ILO Convention 111 on Discrimination (Employment and Occupation);
- ILO Convention 100 on Equal Remuneration;
- ILO Convention 182 on Worst Forms of Child Labour;
- Vienna Convention for the protection of the Ozone Layer and its Montreal Protocol on substances that deplete the Ozone Layer;
- Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (Basel Convention);
- Stockholm Convention on Persistent Organic Pollutants (Stockholm POPs Convention)
- Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (UNEP/FAO) (The PIC Convention) Rotterdam, 10 September 1998, and its 3 regional Protocols.

Consequences of misrepresentation

A serious misrepresentation which induces a contracting authority to enter into a contract may have the following consequences for the signatory that made the misrepresentation:-

- The potential supplier may be excluded from bidding for contracts for three years, under regulation 57(8)(h)(i) of the PCR 2015;
- The contracting authority may sue the supplier for damages and may rescind the contract under the Misrepresentation Act 1967.
- If fraud, or fraudulent intent, can be proved, the potential supplier or the responsible officers of the potential supplier may be prosecuted and convicted of the offence of fraud by false representation under s.2 of the Fraud Act 2006, which can carry a sentence of up to 10 years or a fine (or both).
- If there is a conviction, then the company must be excluded from procurement for five years under reg. 57(1) of the PCR (subject to self-cleaning).



Part 3: Selection Questions

Section 5		Economic and Financial Standing
Question Number	Question	Response
5.1	If documentary evidence of economic and financial standing is available electronically (e.g. financial statements filed with Companies House), please provide: <ul style="list-style-type: none">• the web address• issuing authority• precise reference of the documents	
5.2(a)	If documentary evidence of economic and financial standing is not available electronically, please provide a copy of your detailed accounts for the last two years (audited if required by law).	
5.2(b)	Also, for any other person or entity on whom you are relying to meet the selection criteria relating to economic and financial standing, please provide a copy of their detailed accounts for the last two years (audited if required by law).	
5.3	If you are not able to provide a response to questions 5.1 or 5.2, please provide any of the following alternatives:	
5.3(a)	A statement of your annual Turnover, Profit and Loss Account/Income statement; Balance Sheet/Statement of Financial Position; and Statement of Cash Flow; for the most recent year(s) of trading plus a Bank Letter outlining the current cash and credit facility position.	
5.3(b)	Alternative information to evidence economic and financial standing (e.g. Forecast Financial Statements and a Statement of Funding provided by the owners and/or the bank, Charity Accruals accounts or an alternative means of demonstrating financial status).	



5.4	Where we have specified a minimum level of economic and financial standing and/or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify whether you meet the requirements set out.	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.5	Where you are relying on another member of your bidding group/consortium, or any subcontractors, or any other security, in order to meet the selection criteria relating to economic and financial standing, please confirm that the relevant person or entity is willing to provide a guarantee or other security if required.	Yes <input type="checkbox"/> No <input type="checkbox"/>

Section 6	Technical and Professional Ability
Question number	Question
6.1	<p>Relevant experience and contract examples</p> <p>Please provide details of up to three contracts, to meet the technical and professional ability criteria set out in the procurement documents. This can be in any combination from either the public or private sectors or VCSE's that are relevant to our requirement. VCSEs may include examples of grant-funded work. Where this procurement is for goods or services, the examples must be from the past three years. Where this procurement is for construction works, the examples may be from the past five years. The named contact given should be able to provide written evidence to confirm the accuracy of the information provided below.</p> <p>For consortium bids, or where you have indicated that you are relying on a subcontractor in order to meet the technical and professional ability, you should provide relevant examples of where the consortium / particular member / subcontractor have delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or members of the Special Purpose Vehicle or subcontractors. (Three examples are not required from each member).</p> <p>Where the supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the goods or services, the information requested should be provided in respect of the main intended provider(s) or subcontractor(s) who will deliver the contract.</p>



For each contract please provide the following information:

	Contract 1	Contract 2	Contract 3
Name of customer organisation who signed the contract			
Name of supplier who signed the contract			
Point of contact in the customer's organisation			
Position in the customer's organisation			
E-mail address			
Description of contract			
Contract start date			
Contract completion date			
Estimated contract value			

6.2	If you cannot provide at least one example for question 6.1, in no more than 500 words please provide an explanation for this and how you meet the selection criteria relating to technical and professional ability (e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.)
6.3	<p>Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your subcontractor(s).</p> <p>Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment and whether you are a signatory of the UK Prompt Payment Code (or have given commitments under equivalent schemes in other countries).</p>



Section 7	Additional Questions including Project Specific Questions	
7.1	Insurance Levels	
	Please confirm whether you already have, or can commit to obtain prior to the commencement of the contract, the levels of insurance cover indicated below:	
7.1(a)	Employer's (Compulsory) Liability Insurance ¹ = £5m	Yes <input type="checkbox"/> No <input type="checkbox"/>
7.1(b)	Public Liability Insurance = £5m	Yes <input type="checkbox"/> No <input type="checkbox"/>
7.1(c)	Professional Indemnity Insurance = £2m	Yes <input type="checkbox"/> No <input type="checkbox"/>
	<i>1. There is a legal requirement for certain employers to hold Employer's (Compulsory) Liability Insurance of £5 million as a minimum. See the Health and Safety Executive website for more information:</i> <ul style="list-style-type: none"><i>http://www.hse.gov.uk/pubns/hse39.pdf</i>	
7.2	Data Protection	
7.2(a)	Please confirm that you have in place, or that you will have in place by contract award, the human and technical resources to ensure compliance with the UK General Data Protection Regulations and to ensure the protection of the rights of data subjects in performing the contract.	Yes <input type="checkbox"/> No <input type="checkbox"/>



7.2(b)	<p>Please provide details of the technical facilities and measures (including systems and processes) you have in place, or will have in place by contract award, to ensure compliance with the UK General Data Protection Regulations and to ensure the protection of the rights of data subjects. Your response should include, but should not be limited to facilities and measures:</p> <ul style="list-style-type: none">• to ensure ongoing confidentiality, integrity, availability and resilience of processing systems and services;• to comply with the rights of data subjects in respect of receiving privacy information, and access, rectification, deletion and portability of personal data;• to ensure that any consent based processing meets standards of active, informed consent, and that such consents are recorded and auditable;• to ensure legal safeguards are in place to legitimise transfers of personal data outside the EU (if such transfers will take place);• to maintain records of personal data processing activities; and• to regularly test, assess and evaluate the effectiveness of the above measures.	
7.3	Payment Terms	
7.3(a)	<p>Please confirm that you will comply with Regulation 113 of the Public Contract Regulations 2015, by having systems in place to include (as a minimum) 30 day payment terms in all of your supply chain contracts, and require that such terms are passed down through your supply chain.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> PASS/FAIL</p>
7.4	Suppliers' Past Performance	
7.4(a)	<p>Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
7.4(b)	<p>On request can you provide a certificate from those customers on the list?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
7.4(c)	<p>If you cannot obtain a certificate from a customer can you explain the reasons why?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
7.4(d)	<p>If the certificate states that goods and/or services supplied were not satisfactory are you able to supply information which shows why this will not recur in this contract if you are awarded it?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>



7.4(e)	Can you supply the information in questions a. to d. above for any subcontractors [or consortium members] who you are relying upon to perform this contract?	Yes <input type="checkbox"/> No <input type="checkbox"/>
7.5	Tackling Modern Slavery in Supply Chains	
7.5(a)	<p>If you are a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015, and if your latest statement is available electronically please provide:</p> <ul style="list-style-type: none">• the web address,• precise reference of the documents <p><i>(For more details see Procurement Policy Note PPN 02/23)</i></p>	
7.5(b)	If your latest statement is not available electronically, please provide a copy.	
7.5(c)	If you are not a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015 (for example if your turnover is less than £36 million or you do not carry on your business, or part of your business, in the UK), please provide the above information in relation to any published statements on modern slavery or other relevant documents containing information of a similar type/level.	
7.5(d)	<p>Any modern slavery statement or other statement or document should contain at least the following information:</p> <p>a. the organisation's structure, its business and its supply chains;</p> <p>b. its policies in relation to slavery and human trafficking;</p> <p>c. its due diligence processes in relation to slavery and human trafficking in its business and supply chains;</p> <p>d. the parts of its business and supply chains where there is a risk of slavery and human trafficking taking place, and the steps it has taken to assess and manage that risk;</p> <p>e. its effectiveness in ensuring that slavery and human trafficking is not taking place in its business or supply chains, measured against such</p>	



	performance indicators as it considers appropriate; f. the training and capacity building about slavery and human trafficking available to its staff; or If all of this information is not included in your modern slavery statement or other statement or documents, please provide an explanation as to why not and/or assurances that it will be included before contract award.	
7.6	Health & Safety	
7.6(a)	Please describe the arrangements you have in place to manage health and safety effectively and control significant risks relevant to the requirement (including risks from the use of contractors, where relevant). Please use no more than 500 words.	

Contact details and declaration

I declare that to the best of my knowledge, the answers submitted and information contained in this document are correct and accurate, including Parts 1, 2 and 3.

I declare that, upon request and without delay, I will provide the certificates and/or documentary evidence referred to in this document. The exception is where this documentation can be accessed by the contracting authority via a national database free of charge, or the contracting authority already possesses the documentation.

I understand that the information will be used in the selection process to assess my suitability to participate further in this procurement.

I understand that the authority may reject this submission in its entirety, if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

Signature:

(electronic is acceptable)

Date:



Contact details of those making the declaration	
Item	Response
Contact name	
Name of organisation	
Role in organisation	
Phone number	
E-mail address	
Postal address	





Department for
Energy Security
& Net Zero

Declaration 4: The General Data Protection Regulation Assurance Questionnaire for Contractors

Please find attached to email inviting the BGS to bid for this contract.



Declaration 5: Code of Practice¹¹

I confirm that I am aware of the requirements of the Department's Code of Practice¹² for Research and, in the proposed project, I will use my best efforts to ensure that the procedures used conform to those requirements under the following headings¹³:

- Responsibilities
- Competence
- Project planning
- Quality Control
- Handling of samples and materials
- Facilities and equipment
- Documentation of procedures and methods
- Research/work records

I understand that the Department has the right to inspect our procedures and practices against the requirements of the Code of Practice, and that I may be asked to provide documentary evidence of our working practices or provide access and assistance to auditors appointed by the Department.

(There is some flexibility in the application of the Code of Practice to specific research projects. Contractors are encouraged to discuss with the Department any aspects that cause them concern, in order to reach agreement on the interpretation of each requirement.)

Signed

Name

Position

¹¹ Please note that this declaration applies to individuals, single organisations and consortia.

¹² The Code of Practice is attached to this specification as Annex B

¹³ Please delete as appropriate



Annex A: Quotation for project

Please find an excel file pricing template attached to email inviting the BGS to bid for this contract.



Annex B: Code of Practice for Research

CODE OF PRACTICE FOR RESEARCH

Issued by the Department for Energy Security and Net Zero.

The Department has developed this Code of Practice from the Joint Code of Practice issued by BBSRC; the Department for Environment, Food and Rural Affairs (Defra); the Food Standards Agency; and the Natural Environment Research Council (NERC) which lays out a framework for the proper conduct of research. It sets out the key aspects of the research process and the importance of making judgements on the appropriate precautions needed in every research activity.

The Code applies to all research funded by The Department. It is intended to apply to all types of research, but the overriding principle is fitness of purpose and that all research must be conducted diligently by competent researchers and therefore the individual provisions must be interpreted with that in mind.

PRINCIPLES BEHIND THE CODE OF PRACTICE

Contractors and consortia funded by the Department are expected to be committed to the quality of the research process in addition to quality of the evidence outputs

The Code of Practice has been created in order to assist contractors to conduct research of the highest quality and to encourage good conduct in research and help prevent misconduct.

Set out over 8 responsibilities the code of practice provides general principles and standards for good practice in research.

Most contractors will already have in place many of the measures set out in the Code and its adoption should not require great effort.

COMPLIANCE WITH THE CODE OF PRACTICE

All organisations contracting to the Department (including those sub-contracting as part of a consortium) will be expected to commit to upholding these responsibilities and will be expected to indicate acceptance of the Code when submitting proposals to the Department.

Contractors are encouraged to discuss with the Department any clauses in the Code that they consider inappropriate or unnecessary in the context of the proposed research project. The Code, and records of the discussions if held, will become part of the Terms and Conditions under which the research is funded.



Additionally, The Department may conduct (or request from the Contractor as appropriate) a formal risk assessment on the project to identify where additional controls may be needed.

MONITORING OF COMPLIANCE WITH THE CODE OF PRACTICE

Monitoring of compliance with the Code is necessary to ensure:

- Policies and managed processes exist to support compliance with the Code
- That these are being applied in practice.

In the short term, the Department can require contractors to conduct planned internal audits although the Department reserves the right to obtain evidence that a funded project is carried out to the required standard. The Department may also conduct an audit of a Contractor's research system if deemed necessary.

In the longer term it is expected that most research organisations will assure the quality of their research processes by means of a formal system that is audited by an impartial and competent third party against an appropriate internationally recognised standard that is fit for purpose.

A recommended checklist for researchers can be found on the UK Research Integrity Office (UKRIO) website at <http://www.ukrio.org/what-we-do/code-of-practice-for-research>

SPECIFIC REQUIREMENTS IN THE CODE OF PRACTICE

1. Responsibilities

All organisations contracting to the Department (including those sub-contracting as part of a consortium) will be responsible for the overall quality of research they conducted. Managers, group leaders and supervisors have a responsibility to ensure a climate of good practice in the research teams, including a commitment to the development of scientific and technical skills.

The Principal Investigator or Project Leader is responsible for all the work conducted in the project including that of any subcontractors. All staff and students must have defined responsibilities in relation to the project and be aware of these responsibilities.

2. Competence

All personnel associated with the project must be competent to perform the technical, scientific and support tasks required of them. Personnel undergoing training must be supervised at a level such that the quality of the results is not compromised by the inexperience of the researcher.

3. Project planning

An appropriate level of risk assessment must be conducted to demonstrate awareness



of the key factors that will influence the success of the project and the ability to meet its objectives. There must be a written project plan showing that these factors (including research design, statistical methods and others) have been addressed. Projects must be ethical and project plans must be agreed in collaboration with the Department, taking account of the requirements of ethical committees¹⁴ or the terms of project licences, if relevant.

Significant amendments to the plan or milestones must be recorded and approved by the Department if applicable.

4. Quality Control

The organisation must have planned processes in place to assure the quality of the research undertaken by its staff. Projects must be subjected to formal reviews of an appropriate frequency. Final and interim outputs must always be accompanied by a statement of what quality control has been undertaken.

The authorisation of outputs and publications shall be as agreed by the Department, and subject to senior approval in the Department, where appropriate. Errors identified after publication must be notified to the Department and agreed corrective action initiated.

5. Handling of samples and materials

All samples and other experimental materials must be labelled (clearly, accurately, uniquely and durably), and retained for a period to be agreed by the Department. The storage and handling of the samples, materials and data must be as specified in the project plan (or proposal), and must be appropriate to their nature. If the storage conditions are critical, they must be monitored and recorded.

6. Documentation of procedures and methods

All the procedures and methods used in a research project must be documented, at least in the personal records of the researcher. This includes analytical and statistical procedures and the generation of a clear audit trail linking secondary processed information to primary data.

There must be a procedure for validation of research methods as fit for purpose, and modifications must be trackable through each stage of development of the method.

7. Research/work records

All records must be of sufficient quality to present a complete picture of the work

¹⁴ Please note ethical approval does not remove the responsibility of the individual for ethical behaviour.



performed, enabling it to be repeated if necessary.

The project leader is accountable for the validity of the work and responsible for ensuring that regular reviews of the records of each researcher are conducted¹⁵

The location of all project records, including critical data, must be recorded. They must be retained in a form that ensures their integrity and security, and prevents unauthorised modification, for a period to be agreed by the Department.

A recommended checklist for researchers can be found on the UK Research Integrity Office (UKRIO) website at <http://www.ukrio.org/what-we-do/code-of-practice-for-research>

¹⁵ Please note that this also applies to projects being undertaken by consortia.



Annex C: Risk Register

Please find an excel file template for the risk register attached to email inviting the BGS to bid for this contract.



Annex D: Project Plan and Finance Table

Please find an excel file with DESNZ project plan and finance table template attached to email inviting the BGS to bid for this contract. A word document is also included with guidance on completing the project plan and finance table.