# Invitation to Quote

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

**Subject: Heat Networks Qualitative Research**

**Sourcing Reference Number: CR18062**

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

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**UK Shared Business Services Ltd (UK SBS)**
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# Section 1 – About UK Shared Business Services

**Putting the business into shared services**

UK Shared Business Services Ltd (UK SBS) brings a commercial attitude to the public sector; helping our Contracting Authorities improve efficiency, generate savings and modernise.

It is our vision to become the leading service provider for the Contracting Authorities of shared business services in the UK public sector, continuously reducing cost and improving quality of business services for Government and the public sector.

Our broad range of expert services is shared by our Contracting Authorities. This allows Contracting Authorities the freedom to focus resources on core activities; innovating and transforming their own organisations.

Core services include Procurement, Finance, Grants Admissions, Human Resources, Payroll, ISS, and Property Asset Management all underpinned by our Service Delivery and Contact Centre teams.

UK SBS is a people rather than task focused business. It's what makes us different to the traditional transactional shared services centre. What is more, being a not-for-profit organisation owned by the Department for Business, Energy & Industrial Strategy (BEIS), UK SBS' goals are aligned with the public sector and delivering best value for the UK taxpayer.

UK Shared Business Services Ltd changed its name from RCUK Shared Services Centre Ltd in March 2013.

**Our Customers**

Growing from a foundation of supporting the Research Councils, 2012/13 saw Business, Energy and Industrial Strategy (BEIS) transition their procurement to UK SBS and Crown Commercial Services (CCS – previously Government Procurement Service) agree a Memorandum of Understanding with UK SBS to deliver two major procurement categories (construction and research) across Government.

UK SBS currently manages £700m expenditure for its Contracting Authorities.

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

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# Section 2 – About the Contracting Authority

**Department for Business, Energy & Industrial Strategy (BEIS)**

The Department for Business, Energy and Industrial Strategy (BEIS) was created as a result of a merger between the Department of Energy and Climate Change (DECC) and the Department for Business, Innovation and Skills (BIS), as part of the Machinery of Government (MoG) changes in July 2016.

The Department is responsible for:

• developing and delivering a comprehensive industrial strategy and leading the government's relationship with business;

• ensuring that the country has secure energy supplies that are reliable, affordable and clean;

• ensuring the UK remains at the leading edge of science, research and innovation; and

• tackling climate change.

BEIS is a ministerial department, supported by 46 agencies and public bodies.

We have around 2,500 staff working for BEIS. Our partner organisations include 9 executive agencies employing around 14,500 staff.

http://www.beis.gov.uk

# Section 3 - Working with the Contracting Authority.

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

| Section 3 – Contact details | | |
|---|---|---|
| 3.1 | Contracting Authority Name and address | Department for Business, Energy and Industrial Strategy, 1 Victoria Street, London, SW1H 0ET |
| 3.2 | Buyer name | Jenny Stratton |
| 3.3 | Buyer contact details | Research@uksbs.co.uk |
| 3.4 | Maximum value of the Opportunity | £40,000.00 |
| 3.5 | Process for the submission of clarifications and Bids | **All correspondence shall be submitted within the Emptoris e-sourcing tool. Guidance Notes to support the use of Emptoris is available here.**<br>**Please note submission of a Bid to any email address including the Buyer will result in the Bid not being considered.** |

| Section 3 - Timescales | | |
|---|---|---|
| 3.6 | Date of Issue of Contract Advert and location of original Advert | Tuesday 17th April 2018<br>Location: Contracts Finder |
| 3.7 | Latest date/time ITQ clarification questions shall be received through Emptoris messaging system | Thursday 26th April 2018<br>11.00am |
| 3.8 | Latest date/time ITQ clarification answers should be sent to all Bidders by the Buyer through Emptoris | Monday 30th April 2018 |
| 3.9 | Latest date/time ITQ Bid shall be submitted through Emptoris | Thursday 3rd May 2018<br>11.00am |
| 3.10 | Anticipated notification date of successful and unsuccessful Bids | Monday 14th May 2018 |
| 3.11 | Anticipated Award date | Monday 14th May 2018 |
| 3.12 | Anticipated Contract Start date | Monday 21st May 2018 |
| 3.13 | Anticipated Contract End date | Wednesday 31st October 2018 |
| 3.14 | Bid Validity Period | 60 Days |

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# Section 4 – Specification

## 1. Background

### Heat networks:

Heat networks are systems of insulated pipes that deliver heat from a central source to multiple end-users. Heat network pipe infrastructure is heat source and fuel agnostic, so can take heat from a variety of low carbon sources including renewables, recovered heat and combined heat and power.

There are two types of Heat Network. The first is communal heating, in which all dwellings within a single building are supplied by a single heating system. The second is district heating, where multiple buildings are supplied by a single heating system. Buildings could be residential, public or commercial use or some combination of these.

Heat Networks are a key element of the Clean Growth Strategy for the UK's decarbonisation of heat. Heat decarbonisation is essential for the UK to meet its climate change obligations.

For low-carbon heating to be prominent in the UK in the future, a large growth in heat networks is going to be required. The Committee on Climate Change (CCC) central scenario for the 5th carbon budget shows heat networks serving 18% of buildings heat demand in 2050 (81TWh) and saving 15MtCO2e/year. Achieving this level of expansion in the market will require Government support in overcoming barriers to deployment and increasing the heat network market growth considerably.

Government has already established a Heat Network Delivery Unit (HNDU) to address local authority capacity issues in the development of heat networks and a Heat Network Infrastructure Project (HNIP) to address capital investment barriers.

HNIP consists of £320 million capital support for building heat networks across England and Wales between 2016 and 2020 to support up to around 200 new heat networks. Due to its size and budget, HNIP is a central Government 'Major Project'. The first funding round in 2016/17 was run as a pilot, with subsequent funding rounds from 2018 forming the 'main scheme'.

Heat networks have some qualities of natural local monopolies, as consumers have limited ability to switch suppliers and there may be the potential for collusion/barriers to entry.

### Competition and Markets Authority (CMA) market study and ADE taskforce:

In December 2017 the CMA announced they are conducting a market study into heat networks to look into consumer protection issues.

The ADE (Association for Decentralised Energy) industry taskforce published recommendations for Government on 31 January 2018 on what may be needed to create a self-sustaining heat networks market.

**The need for qualitative analysis, following the Heat Networks Consumer Survey:**

It is essential that any future potential Government policy in this area is developed on the best possible evidence base. Therefore in 2017 BEIS conducted a large-scale survey of domestic heat network consumers (end users). This survey quantified consumer experiences of heat networks for the first time, showing the extent of different consumer experiences and prevalence of a number of service issues.

There were however some questions which were not possible to answer in this survey, for example around the consistency of bills (timing and price) and the relationships between heat network operators, heat providers and building management .

The results of the HNCS survey also brought some new questions to light. For example heat network consumers were more likely to complain, and be unhappy with the outcome of complaint compared with the comparison group. Qualitative research will help to explain why they complain, and provide a better understand their awareness of the complaints procedure and their rights.

The quantitative survey also highlighted the complex nature of experiences among heat network consumers, for example that more heat network consumers received little information and were less likely to have control over their heating. However they were, on average, just as satisfied with the amount of information and the control they have overheating.

A qualitative approach will provide BEIS with a deeper understanding of the complex issues, helping to explore the reasons *behind* some of our findings. This is important as options for potential future regulation will need to be based on evidence which not only identifies the extent of issues (as in the quantitative survey) but also explains the complexities of issues (which the qualitative research will be able to explore).

## 2. Aims and Objectives of the Project

This research will be essential to build upon the evidence base to support the policy team

Research questions have been derived and prioritised based on consultation and engagement with the policy team, and where there is an evidence gap.

**Research questions for interviews with heat network operators and owners:**
- What are the roles and responsibilities in terms of customer protection of those involved in the heat network (heat providers, operators, building management, metering and billing companies) and how does this work in practice? Where are responsibilities / contractual accountabilities grey or not working?
- How/where do consumer expectations and the expectations of operators/owners align or misalign?
- How is operational efficiency of the network monitored against design performance expectations? How are additional costs or rectifications managed? E.g. passed onto consumer; contractor pursued for not meeting requirements; Taken from profit etc.
- How are consumer protection standards ensured? And how does this work in practice? (Heat Trust [the voluntary industry customer protection scheme] / Heat Trust equivalent, other nor none).

- What is the process for managing complaints (including access to independent ombudsman)?

**Research questions for interviews with heat network consumers:**
General themes:
- What drives users' overall satisfaction? Which element(s) of heat network service are most important to consumers and why? – E.g. price, system performance/reliability, information, customer service. What are consumer's priorities for improving the heat network experience?
- Was the heat network a factor in consumers' decisions to move into current home? What was their knowledge / expectations beforehand? For private rented sector, how was this dealt with in the rental agreement (any acknowledgement of lower landlord costs / burden?).
- What are consumer experiences of retro-fitting heat networks to existing buildings?

Technical service:
- What is the link between control, overheating and behaviours? For example what do consumers do when their home is overheating if they have no control over heating, and why? [The aim of this is to probe wasteful heating/cooling behaviours]
- What are consumer experiences of system outages? (E.g. time taken to fix, and communication). Why have these outages occurred and what has driven complaints to resolution (or lack of resolution)?

Billing:
- How does metered consumption impact behaviours? Does flat rate billing disincentivise energy saving behaviours? (E.g. in the context of overheating).
- How consistent are the frequency and price of bills and what are consumer experiences and preferences of this?
- What are (seen as) the characteristics of a 'fair' billing methodology? Why?

Customer service and information:
- To what extent are consumers aware of their rights? What rights do they believe they have? (E.g. heat networks are not covered by Ofgem, but will have access to the Energy Ombudsman if their network is a member of Heat Trust or might have access to the social housing or local government ombudsman).
- How well do consumers understand their complaints procedure and how would they go about making a complaint? Do consumers use Citizens Advice and why/why not?
- What are consumer experiences of making complaints and the outcomes? Which areas of service would consumers be more likely to make a complaint about, and why?
- Is information provided to the consumers understood? What information do consumers want to receive? How and when do consumers want to receive information?

The successful tenderer is invited to work with BEIS to revise the research questions and advise on where the research is or is not likely to return sufficient evidence in advance. An agreed set of finalised research questions is required through the project inception stage.

## 3. Suggested Methodology

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Bidders should detail their proposed methodology in their bids and are expected to justify their chosen methodology even if they decide to use this suggested method.

As outlined by the research questions in section two, there are two groups we are looking to approach, heat network operators and heat network consumers.

**1. Heat network operators:**

To answer our research questions we will require research with people involved in the running of heat networks including the operators, building management and developers. We would suggest that telephone interviews could form the majority of data collection for this group.

We have some anecdotal evidence to suggest that difficulties consumers experience in getting complaints resolved may be due to the complex legal / sub-contracting relationships across the various building and network level operators, suppliers and owners. We suggest that some use of focus groups may be a sensible way to cross-check/patch up the complex relationships between different supply chain organisations, for example with an array of organisations across the supply chain (e.g. operators, building management, developers).

Your methodology should provide a sufficient amount of fieldwork for each of the research subgroups of interest as follows:-

- Local Authority networks.

- Housing Association networks.

- Private heat networks.


Bidders are expected to clearly outline their suggested methodology, indicating how many interviews and focus groups to use, split by the network types indicated above. We will expect bids to discuss the number of interviews needed to reach saturation point or each group.


**2. Heat network consumers:**

Following the quantitative consumer survey we have a sampling frame of almost 1500 consumers who are happy to be re-contacted for further research. This sampling frame contains names, addresses, telephone numbers and email addresses (around 750 have full contact information). The majority of this sample have given consent for their responses to the survey to be linked to this dataset. BEIS will be able to share this with the successful bidder if required.

We suggest that telephone interviewing could form the majority of data collection for this group with some use of focus groups where necessary.

The contractor will need to carefully and purposively select respondents to participate which enable it to answer the research questions above. We are interested in a diversity of consumer contexts and will require a sufficient number of interviews with each of the following consumer groups:
- Consumers living on Private, Local Authority and Housing Association networks.
- Consumers in older and newer heat networks.
- Consumers in metered and unmetered networks.
- Consumers on Heat Trust (the industry-led regulator) registered schemes.

- Consumers who have, or had cause to, complain about their heat network.

Bidders are expected to clearly outline their suggested methodology, indicating how many interviews and focus groups to use, split by the consumer groups indicated above. We will expect bids to discuss their approach to ensuring 'saturation' in the context of their proposed fieldwork.

Whilst the quantitative survey in 2017 focussed on communal and district heat networks, this research will likely only focus on district heat networks (unless the sample requires we supplement with communal networks to fully address our research questions). We suggest that purposive sampling is appropriate in this case but the bidder should clearly justify their proposed approach and the benefits/limitations implied therein.

BEIS will expect to be able to attend the focus groups in an observational capacity and will require interviews to be recorded and for these recordings to be made available for review for quality assurance purposes to BEIS on request.

## 4. Deliverables

Contractors are expected to ensure the following is included in the costings and timings for this project:

| Action | Timing (approximate) - completed by |
|---|---|
| Inception report | End of May |
| Agreed methodology | End of May |
| First draft of discussion guides | End of May |
| First wave of fieldwork | Early June to Mid-June |
| Early findings presentation | Mid-June |
| Second wave of fieldwork | Mid-late June to mid-July |
| Headline results discussion | Mid July |
| First draft of report | Late July |
| Final results presentation | Late July |
| Final report and anonymised data delivered | August |

These timings are indicative and may change subject to BEIS's needs, however contractors are expected to plan and resource appropriately to meet the indicative timetable above and to be able to adapt flexibly should the timetable change.

**Topic Guides:**

We will expect topic guides to be created for interviews and focus groups and will provide comments and final sign-off on these.

**Presentations:**

We would require a presentation of early findings early on in fieldwork (late April/early May). Contractors should work with us to review the approach and content of fieldwork at

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this stage, and proactively make recommendations, to make improvements if needed. For example, it is essential that important areas of research which emerge from early findings are highlighted sufficiently early to enable a shift in focus, if required, without incurring additional costs.

At the close of the project we also expect a presentation within BEIS to the wider policy team. The slide pack should be of publishable quality.

**Reports:**

At the end of the project (before the final presentation) we require a finalised, fully quality assured and peer reviewed report which includes a clear and sufficient technical annex. The report must be written in plain English and around 30 pages in length. From experience we expect that 2-3 drafts will be needed to reach the finalised report and these drafts should be delivered well in advance with sufficient time built in for review and comments. Each draft must be proof-read and delivered at a professional and publishable standard. Clear, precise and succinct language is essential. We expect this to be costed and accounted for in the timeline.

**Data**:

We will require contractors to supply BEIS with an anonymised dataset(s) from the research alongside the final report. **Peer Review:**

Contractors are to arrange for an independent academic peer reviewer for the duration of project. The peer reviewer should be completely independent of the project team and bidder's organisation, and will be expected to provide advice as part of the project steering group at key stages of the project alongside a full review of the final report.

BEIS has a standard peer review checklist which must be used for this project (in addition to comments on the report). This checklist will be provided by BEIS to the peer reviewer and contractors. Contractors should plan for their work to be subject to this peer review process, and allow enough time for the peer reviewer to feed in major comments to an early draft and fully review a final draft of the report, along with the full and comprehensive technical annex.

**Publication**
The final report for this research / evaluation project must be formatted according to BEIS publication guidelines, therefore within the Research paper series template and adhering to BEIS accessibility requirements for all publications on GOV.UK.  The publication template will be provided by the project manager.  Please ensure you note the following in terms of accessibility:

Checklist for Word accessibility

Word documents supplied to BEIS will be assessed for accessibility upon receipt. Documents which do not meet one or more of the following checkpoints will be returned to you for re-working at your own cost:

• document reads logically when reflowed or rendered by text-to-speech software
• language is set to English (in File > Properties > Advanced)
• structural elements of document are properly tagged (headings, titles, lists etc.)
• all images/figures have either alternative text or an appropriate caption
• tables are correctly tagged to represent the table structure
• text is left aligned, not justified

- document avoids excessive use of capitalised, underlined or italicised text
- hyperlinks are spelt out (e.g. in a footnote or endnote)


Please see Annex A for BEIS Social Research Report Writing Guidelines.

**Working Arrangements**

There will be a number of key clients for the research within BEIS and a steering group will be set up to inform key decisions. The successful bidder will sit on the steering group. The project as a whole will formally report to a project board.

The successful contractor will be expected to identify one named point of contract through whom all enquiries can be filtered. A BEIS project manager will be assigned to the project and will be the central point of contact.

Weekly progress updates will be required throughout the project. These can be delivered via e-mail to the BEIS steering group or project manager, and/or phone calls. A monthly progress report will also be required via email followed by a phone call. Any changes to contractor team identified in the bid must be approved by BEIS with a plan for mitigating this to reduce impact on project.

All research tools and sampling methodologies will need to be agreed by BEIS.

BEIS will own the intellectual property rights of any and all intermediate products, including the final deliverables, and in particular including presentation slide packs, reports and data.

**Terms and Conditions**

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

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| Annex A |
| --- |
| **BEIS Social Research Report Writing Guidelines** |

# 1. Introduction

This guide describes the conventions and standards that we expect in the production of written reports and summaries of all social research, consumer insight and evaluation commissioned by BEIS, whether intended for internal use and/or publication.

The aim of this guide is to help authors produce clearly and concisely presented reports, which reflect the needs of BEIS and will be accessible and engaging to their intended audience. These guidelines should help to: streamline the reporting process; reduce the need for extensive comment and redrafting; and maximise the impact of the final report.

These guidelines are the basis for good reporting practice and may not cover all eventualities (in particular, they are not intended to be a guide for conducting social research). Full discussion with the BEIS project manager about the report structure, format and function will be expected in all cases, to ensure the final report is of high quality and meets individual project requirements.

# 1. General Guidelines

Basic principles to observe:

- Aim for Plain English; keep sentences short, prefer active verbs, and use words that are appropriate for the reader[1].
- Assume the audience for the main report and summary to be interested, but non-technical / specialist, readers.
- Reports should provide a **concise but clearly evidence-based** presentation of findings, with a separate conclusions section.
- The **main report should be around 25-30 pages long**, with a standalone **3-4 page executive summary**. Annexes should be used as appropriate to include further information and detail. Any exception to this will need to be agreed with the BEIS project manager at the start of the project.
- **Draft reports** should be as **close as possible to the final version of the report and comply with all standards set out in this document**, unless otherwise agreed with the BEIS research project manager.

The remainder of this guide is arranged as follows:

1. Report structure and style

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[1] See for example Plain English Campaign - http://www.plainenglish.co.uk/crystal-mark/about-the-crystal-mark/the-crystal-mark-standard.html or Center for Plain Language - http://centerforplainlanguage.org/about-plain-language/checklist/

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# 2. Report structure and style

## a. Report structure

- The report should contain a standalone executive summary, with a short summary of the objectives, methodology, key findings and conclusions, and normally be no longer than 4 pages.
- The main report should be no longer than 30 pages, unless this has been agreed with the project manager at the start of the project.
- The report should contain an introduction setting out the aims and objectives of the project and the context of the research.
- A short methodology section should also be included and provide sufficient information about the research design, sample and timing, and any limitations for the reader to understand how the findings were generated and interpret the conclusions.
- The findings, which are clearly related to each of the research objectives, should make up the main body of the report.
- Conclusions should be presented in a separate section (N.B. ensure the conclusions are not simply a repeat of the exec summary or vice versa).
- Further relevant information, including detailed methodology, evidence sources, research tools etc., should be included in the annexes.

## b. Report layout

- The report should be standardised to the format of the BEIS Report Template (to be supplied by the BEIS project manager), including chapter numbering, heading styles, font size, typeface and line-spacing.
- Be consistent with punctuation, capitalisation and the use of acronyms and abbreviations.
- Use informative chapter and section headings to guide the reader.
- Use bullet lists where appropriate.
- Be consistent with the format, position and labelling of tables, charts and figures throughout the report, following those included in the report template where possible.
- Use chapter, page and paragraph cross-references where necessary.
- Reports should be page-numbered.

## c. Report style

- Be consistent in the use of tense. Any research findings should generally be in the past tense - 'the research found... / 20% of respondents reported... etc.'
- Be consistent in the use of terminology - e.g. householders / residents; energy companies / energy suppliers; consumers / consumers etc.
- For abbreviations and acronyms, unless in common English usage, put the name in full when first used followed by the abbreviation or acronym in brackets, and then use the abbreviation.
- In addition, it may be appropriate to also include a glossary.
- Avoid unnecessary jargon. Unavoidable jargon terms should be explained the first time they are used.

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### d. Bibliography and References

- Number references to published work consecutively throughout the report preferably using Arabic numerals as superscript. References should follow standard citation procedures – for example:
    - Author, A., Author, B. Year. Title of paper. Title of Journal, volume no, pages;
    - Author, A., Author, B. Year. Title of book/chapter, (Editors Title of book) publisher;
    - Author, A., Author, B. Year. Title of report. Available at XXX-web link. (access date)

### e. Disclaimer

- A disclaimer should be inserted on the first inside page of the report, as follows: "The views expressed in this report are those of the authors, not necessarily those of the Department for Business, Energy & Industrial Strategy (nor do they reflect Government policy)."

### f. Logos

- The BEIS logo is provided on the Report Template. Other logos of the contractor / other parties involved may be placed on the inside front cover.

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# 3. Presenting methods, analysis and findings

## a. *Key points about presenting evidence*

- The report should clearly and fully reflect the agreed aims of the research, be impartial, and clearly indicate when the research took place.
- Findings and conclusions should be clearly related to the objectives and research questions for the study.
- All findings must be clearly substantiated by the evidence, and it should be clear to the reader how conclusions have been drawn and what they are based upon.
- Any recommendations, where requested, should clearly stem from the interpretation of the evidence, where possible being linked back to specific key findings.

## b. *Presenting the methodology and research tools*

- The methodology section in the main report should include enough information for the reader to understand exactly how the findings were generated, including a brief description of the research design; sampling approach, size and response rate; timing and location of fieldwork; and any limitations of the approach (including implications for robustness of data and findings).
- Detailed methodology should be included in an annex, along with research tools, case study details etc.
- For evidence reviews, the approach and criteria for identification, inclusion and weighting of evidence should be clearly explained in the report.

## c. *Reporting findings*

- Any limitations of the evidence should be clearly set out (for example restricted access to participants, gaps in sample coverage, time restraints) and implications for errors / bias in findings.
- In any research study which has included both qualitative and quantitative research, these findings should always be linked and interpreted together in the report.

## d. *Presenting quantitative research:*

- Research findings should normally refer to the respondents in the research rather than the general population (i.e. 20% of respondents thought X rather than 20% of householders / people / consumers) unless the research methodology allows such generalisation - i.e. a random sampling approach. In such cases statistical significance should be referred to.
- However, it is not normally appropriate to use significance testing with non-random samples (e.g. quota samples).
- Any reporting of percentages should make clear the base/total number of respondents on which percentages are being calculated. Percentages should not normally be presented on bases less than 100.
- Sub-group analysis should respect minimum sample sizes for quantification and/or significance testing of differences between groups, related to expected size of change or difference between groups.
- Generalisations from samples should only be made where the sample is sufficiently large and representative to warrant this.
- Where precise figures are not available or not appropriate use the greatest degree of precision possible - e.g. 'around three quarters' or 'the majority'.

### e. Presenting qualitative research:

- As part of good qualitative research, corroborating evidence should be used to support and triangulate any findings (including other sources of evidence / data generated or identified by the research). However, there should also be discussion of where there was limited evidence which prevented this.
- Similarly, discussion of any conflicting or rival theories should be presented, e.g. contradictory evidence; absence of evidence.
- It should be made clear that findings relate to the research respondents and are not overarching or generalisable to e.g. the whole population, although may be considered representative of the range of views held by the target group for the research.
- Reporting should make clear the extent to which findings reflect the views of most or few respondents, and/or specific subgroups.
- Very general terms for groups of respondents such as 'stakeholders' should be avoided, rather descriptive terms should be used, as appropriate – e.g. 'local authority representatives' etc.
- Verbatim quotes should be used to illustrate and reinforce a point made in the text, but not as a substitute for presenting a finding. All key points should be illustrated with at least one quote.
- All quotations should be anonymous but give a clear indication of how the respondent fits into the sampling scheme - the details to be included should be agreed with the BEIS project manager before the report is drafted and used consistently throughout (e.g. 'respondent 17, female, homeowner' etc.).

### f. Presenting tables, charts, diagrams and statistics

- Charts and diagrams should be used, where appropriate, to illustrate noteworthy findings and to break up the text.
- Supporting narrative should always be included to highlight, explain, qualify or expand on the message of a table or chart.
- Tables and figures should be headed, numbered and sourced. They should always be clearly and accurately referenced in the text.
- Tables of data should normally be presented with row and column totals.
- Base totals should be presented with every table or chart presenting survey data.
- A definition should be given of the base sample, e.g. all respondents (n) or all respondents [within a subset] (n).
- It should be clear whether any percentages are weighted or un-weighted, and where weighting is used both weighted and un-weighted bases should be provided for charts and tables.
- Any weighting used should be explained to the reader, in a way which is understandable to a non-specialist audience.
- Chart axes should be clearly and unambiguously labelled, and use consistent scales, to avoid false comparison between charts.

### g. Anonymity

- To preserve confidentiality and anonymity, no identifying details of individual participants in the research or of particular organisations should be included in any report to the Department, unless this has been specifically cleared in advance with the individual or organisation concerned.

### h. *Previous literature*

- Any review of previous literature included in a report of primary research should clearly relate to the aims and objectives of the research. As far as possible, it should also indicate the status of the literature reviewed, whether it has been subject to any rigorous quality control criteria, and how robust any cited findings are.
- Findings or conclusions from previous literature should be clearly differentiated from findings of primary research.
- All sources of evidence should be clearly referenced.

## 4. Submitting reports

### a. *Report outline*

- A report outline, setting out chapter and section headings, and bullets of what will be covered within each chapter/section, should be agreed with the Project Manager well in advance of the draft report. This should show clearly how each of the research questions have been answered.

### b. *Draft Reports*

- All draft reports should be thoroughly proof read by someone other than the author before submission to BEIS, to minimise spelling and grammar errors and gaps and inconsistencies in information and logic.
- If several authors have contributed separate sections to the report a thorough editorial review is needed prior to submission, to ensure consistent style and avoid unnecessary repetition.

- The date and status of the report should be clear (e.g. Draft 1, June 2016).
- The electronic version of the draft final report should be in Microsoft Word. Other formats should only be used with prior agreement from the BEIS project manager.

### c. *Interim reports*

- If there have been previously disseminated or published interim reports, the final report should show clear links between the emerging findings in the interim report and the findings in the final report.
- Any other work mentioned in the text, including earlier or interim reports, should be fully referenced.

### d. *Final draft report*

- The final draft report should have a further proof-read before submission, following comments and sign-off from the BEIS project manager.

### e. *Supplying data*

- For quantitative research you will be expected to provide copies of cleaned data with documentation at the same time as the final agreed report – this should be presented as excel/CSV or SPSS files. There should be a full and detailed explanation of all labels and variables of the dataset, to allow easy use by researchers within BEIS.

- For qualitative research you will generally be expected to provide transcripts or other notes collated as qualitative data. The data should have clear labels and sufficient explanation to allow further analysis where necessary (e.g. gender, age, geographical location).
- For secondary research / evidence reviews etc. you will be expected to provide summaries and full references of all sources reviewed, e.g. using a proforma developed as part of the research.

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**Annex B**

**Code of Practice**

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BEIS 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 BEIS. 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.

## 1. PRINCIPLES BEHIND THE CODE OF PRACTICE

Contractors and consortia funded by BEIS 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.

## 2. COMPLIANCE WITH THE CODE OF PRACTICE

All organisations contracting to BEIS (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 BEIS 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, BEIS may conduct (or request from the Contractor as appropriate) a formal risk assessment on the project to identify where additional controls may be needed.

# 3. 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, BEIS can require contractors to conduct planned internal audits although BEIS reserve the right to obtain evidence that a funded project is carried out to the required standard. BEIS 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

# 4. SPECIFIC REQUIREMENTS IN THE CODE OF PRACTICE

## a. Responsibilities

All organisations contracting to BEIS (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.

## b. 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.

## c. 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 BEIS, taking account of the requirements of ethical committees[2] or the terms of project licences, if relevant.

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

## d. 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 BEIS, and subject to senior approval in BEIS, where appropriate. Errors identified after publication must be notified to BEIS and agreed corrective action initiated.

## e. 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 BEIS. 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.

## f. 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 trial 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 clearly indicated and traceable through each stage of development of the method.

## g. Research/work records

All records must be of sufficient quality to present a complete picture of the work 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 conducted[3].

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 BEIS.

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[2] Please note ethical approval does not remove the responsibility of the individual for ethical behaviour
[3] Please note that this also applied to projects being undertaken by consortia

**UKSBS**

*Shared Business Services*

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.

# Section 5 – Evaluation model

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

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

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

| Pass / fail criteria | | |
|---|---|---|
| **Questionnaire** | **Q No.** | **Question subject** |
| Commercial | SEL1.2 | Employment breaches/ Equality |
| Commercial | FOI1.1 | Freedom of Information Exemptions |
| Commercial | AW1.1 | Form of Bid |
| Commercial | AW1.3 | Certificate of Bona Fide Bid |
| Commercial | AW3.1 | Validation check |
| Commercial | SEL3.11 | Compliance to Section 54 of the Modern Slavery Act |
| Commercial | SEL3.12 | Cyber Essentials |
| Commercial | SEL3.13 | General Data Protection Regulations (GDPR) |
| Commercial | AW4.1 | Contract Terms Part 1 |
| Commercial | AW4.2 | Contract Terms Part 2 |
| Commercial | AW6.2 | Non Disclosure Agreement |
| Price | AW5.1 | Maximum Budget |
| Price | AW5.5 | E Invoicing |
| Price | AW5.6 | Implementation of E-Invoicing |
| Quality | AW6.1 | Compliance to the Specification |
| Quality | PROJ1.6 | Code of Practice |
| - | - | Invitation to Quote – received on time within e-sourcing tool |

## Scoring criteria

### Evaluation Justification Statement

In consideration of this particular requirement the Contracting Authority has decided to evaluate Potential Providers by adopting the weightings/scoring mechanism detailed within this ITQ. The Contracting Authority considers these weightings to be in line with existing best practice for a requirement of this type.

| Questionnaire | Q No. | Question subject | Maximum Marks |
|---|---|---|---|
| Price | AW5.2 | Price | 20% |
| Quality | PROJ1.1 | Approach | 40% |
| Quality | PROJ1.2 | Staff to Deliver | 10% |
| Quality | PROJ1.3 | Understanding the Environment | 10% |
| Quality | PROJ1.4 | Project Delivery | 15% |
| Quality | PROJ1.5 | Quality Assurance | 5% |

## Evaluation of criteria

**Non-Price elements**

Each question will be judged on a score from 0 to 100, which shall be subjected to a multiplier to reflect the percentage of the evaluation criteria allocated to that question.

Where an evaluation criterion is worth 20% then the 0-100 score achieved will be multiplied by 20**%**.
Example if a Bidder scores 60 from the available 100 points this will equate to 12% by using the following calculation:
Score = {weighting percentage} x {bidder's score} = 20% x 60 = 12

The same logic will be applied to groups of questions which equate to a single evaluation criterion.

The 0-100 score shall be based on (unless otherwise stated within the question):

| | |
|---|---|
| 0 | The Question is not answered or the response is completely unacceptable. |
| 10 | Extremely poor response – they have completely missed the point of the question. |
| 20 | Very poor response and not wholly acceptable. Requires major revision to the response to make it acceptable.  Only partially answers the requirement, with major deficiencies and little relevant detail proposed. |
| 40 | Poor response only partially satisfying the selection question requirements with deficiencies apparent.   Some useful evidence provided but response falls well short of expectations.  Low probability of being a capable supplier. |
| 60 | Response is acceptable but remains basic and could have been expanded upon. Response is sufficient but does not inspire. |
| 80 | Good response which describes their capabilities in detail which provides high levels of assurance consistent with a quality provider.   The response includes a full description of techniques and measurements currently employed. |
| 100 | Response is exceptional and clearly demonstrates they are capable of meeting the requirement.  No significant weaknesses noted.  The response is compelling in its description of techniques and measurements currently employed, providing full assurance consistent with a quality provider. |

All questions will be scored based on the above mechanism. Please be aware that the final score returned may be different as there may be multiple evaluators and their individual scores will be averaged (mean) to determine your final score.

**Example**
Evaluator 1 scored your bid as 60
Evaluator 2 scored your bid as 60
Evaluator 3 scored your bid as 40
Evaluator 4 scored your bid as 40
Your final score will (60+60+40+40) ÷ 4 = 50

**Price elements** will be judged on the following criteria.

The lowest price for a response which meets the pass criteria shall score 100.
All other bids shall be scored on a pro rata basis in relation to the lowest price. The score is then subject to a multiplier to reflect the percentage value of the price criterion.

For example - Bid 1 £100,000 scores 100.
Bid 2 £120,000 differential of £20,000 or 20% remove 20% from price scores 80
Bid 3 £150,000 differential £50,000 remove 50% from price scores 50.
Bid 4 £175,000 differential £75,000 remove 75% from price scores 25.
Bid 5 £200,000 differential £100,000 remove 100% from price scores 0.
Bid 6 £300,000 differential £200,000 remove 100% from price scores 0.
Where the scoring criterion is worth 50% then the 0-100 score achieved will be multiplied by 50.

In the example if a supplier scores 80 from the available 100 points this will equate to 40% by using the following calculation: Score/Total Points multiplied by 50 (80/100 x 50 = 40)

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

# Section 6 – Evaluation questionnaire

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

**Guidance on completion of the questionnaire is available at**
**http://www.uksbs.co.uk/services/procure/Pages/supplier.aspx**

**PLEASE NOTE THE QUESTIONS ARE NOT NUMBERED SEQUENTIALLY**

# Section 7 – General Information

**What makes a good bid – some simple do's** ☺

**DO:**

7.1 Do comply with Procurement document instructions. Failure to do so may lead to disqualification.

7.2 Do provide the Bid on time, and in the required format. Remember that the date/time given for a response is the last date that it can be accepted; we are legally bound to disqualify late submissions. Unless formally requested to do so by UK SBS e.g. Emptoris system failure

7.3 Do ensure you have read all the training materials to utilise e-sourcing tool prior to responding to this Bid. If you send your Bid by email or post it will be rejected.

7.4 Do use Microsoft Word, PowerPoint Excel 97-03 or compatible formats, or PDF unless agreed in writing by the Buyer. If you use another file format without our written permission we may reject your Bid.

7.5 Do ensure you utilise the Emptoris messaging system to raise any clarifications to our ITQ. You should note that we will release the answer to the question to all Bidders and where we suspect the question contains confidential information we may modify the content of the question to protect the anonymity of the Bidder or their proposed solution

7.6 Do answer the question, it is not enough simply to cross-reference to a 'policy', web page or another part of your Bid, the evaluation team have limited time to assess bids and if they can't find the answer, they can't score it.

7.7 Do consider who the Contracting Authority is and what they want – a generic answer does not necessarily meet every Contracting Authority's needs.

7.8 Do reference your documents correctly, specifically where supporting documentation is requested e.g. referencing the question/s they apply to.

7.9 Do provide clear, concise and ideally generic contact details; telephone numbers, e-mails and fax details.

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

7.11 Do check and recheck your Bid before dispatch.

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

**DO NOT**

7.12    Do not cut and paste from a previous document and forget to change the previous details such as the previous buyer's name.

7.13    Do not attach 'glossy' brochures that have not been requested, they will not be read unless we have asked for them.  Only send what has been requested and only send supplementary information if we have offered the opportunity so to do.

7.14    Do not share the Procurement documents, they are confidential and should not be shared with anyone without the Buyers written permission.

7.15    Do not seek to influence the procurement process by requesting meetings or contacting UK SBS or the Contracting Authority to discuss your Bid.  If your Bid requires clarification the Buyer will contact you. All information secured outside of formal Buyer communications shall have no Legal standing or worth and should not be relied upon.

7.16    Do not contact any UK SBS staff or the Contracting Authority staff without the Buyers written permission or we may reject your Bid.

7.17    Do not collude to fix or adjust the price or withdraw your Bid with another Party as we will reject your Bid.

7.18    Do not offer UK SBS or the Contracting Authority staff any inducement or we will reject your Bid.

7.19    Do not seek changes to the Bid after responses have been submitted and the deadline for Bids to be submitted has passed.

7.20    Do not cross reference answers to external websites or other parts of your Bid, the cross references and website links will not be considered.

7.21    Do not exceed word counts, the additional words will not be considered.

7.22    Do not make your Bid conditional on acceptance of your own Terms of Contract, as your Bid will be rejected.

7.23   All enquiries with respect to access to the e-sourcing tool and problems with functionality within the tool must be submitted to Crown Commercial Service (previously Government Procurement Service), Telephone 0345 010 3503.

7.24   Bidders will be specifically advised where attachments are permissible to support a question response within the e-sourcing tool.   Where they are not permissible any attachments submitted will not be considered as part of the evaluation process.

7.25   Question numbering is not sequential and all questions which require submission are included in the Section 6 Evaluation Questionnaire.

7.26   Any Contract offered may not guarantee any volume of work or any exclusivity of supply.

7.27   We do not guarantee to award any Contract as a result of this procurement

7.28   All documents issued or received in relation to this procurement shall be the property of the Contracting Authority. / UKSBS.

7.29    We can amend any part of the procurement documents at any time prior to the latest date / time Bids shall be submitted through Emptoris.

7.30   If you are a Consortium you must provide details of the Consortiums structure.

7.31   Bidders will be expected to comply with the Freedom of Information Act 2000 or your Bid will be rejected.

7.32   Bidders should note the Government's transparency agenda requires your Bid and any Contract entered into to be published on a designated, publicly searchable web site.  By submitting a response to this ITQ Bidders are agreeing that their Bid and Contract may be made public

7.33   Your bid will be valid for 60 days or your Bid will be  rejected.

7.34   Bidders may only amend the contract terms during the clarification period only, only if you can demonstrate there is a legal or statutory reason why you cannot accept them.  If you request changes to the Contract terms without such grounds and the Contracting Authority fail to accept your legal or statutory reason is reasonably justified we may reject your Bid.

7.35   We will let you know the outcome of your Bid evaluation and where requested will provide a written debrief of the relative strengths and weaknesses of your Bid.

7.36   If you fail mandatory pass / fail criteria we will reject your Bid.

7.37   Bidders are required to use IE8, IE9, Chrome or Firefox in order to access the functionality of the Emptoris e-sourcing tool.

7.38   Bidders should note that if they are successful with their proposal the Contracting Authority reserves the right to ask additional compliancy checks prior to the award of any Contract.  In the event of a Bidder failing to meet one of the compliancy checks

the Contracting Authority may decline to proceed with the award of the Contract to the successful Bidder.

7.39    All timescales are set using a 24 hour clock and are based on British Summer Time or Greenwich Mean Time, depending on which applies at the point when Date and Time Bids shall be submitted through Emptoris.

7.40    All Central Government Departments and their Executive Agencies and Non Departmental Public Bodies are subject to control and reporting within Government. In particular, they report to the Cabinet Office and HM Treasury for all expenditure. Further, the Cabinet Office has a cross-Government role delivering overall Government policy on public procurement - including ensuring value for money and related aspects of good procurement practice.

For these purposes, the Contracting Authority may disclose within Government any of the Bidders documentation/information (including any that the Bidder considers to be confidential and/or commercially sensitive such as specific bid information) submitted by the Bidder to the Contracting Authority during this Procurement. The information will not be disclosed outside Government. Bidders taking part in this ITQ consent to these terms as part of the competition process.

7.41    The Government is introducing its new Government Security Classifications (GSC) classification scheme on the 2nd April 2014 to replace the current Government Protective Marking System (GPMS). A key aspect of this is the reduction in the number of security classifications used.  All Bidders are encouraged to make themselves aware of the changes and identify any potential impacts in their Bid, as the protective marking and applicable protection of any material passed to, or generated by, you during the procurement process or pursuant to any Contract awarded to you as a result of this tender process will be subject to the new GSC. The link below to the Gov.uk website provides information on the new GSC:

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

The Contracting Authority reserves the right to amend any security related term or condition of the draft contract accompanying this ITQ to reflect any changes introduced by the GSC. In particular where this ITQ is accompanied by any instructions on safeguarding classified information (e.g. a Security Aspects Letter) as a result of any changes stemming from the new GSC, whether in respect of the applicable protective marking scheme, specific protective markings given, the aspects to which any protective marking applies or otherwise. This may relate to the instructions on safeguarding classified information (e.g. a Security Aspects Letter) as they apply to the procurement as they apply to the procurement process and/or any contracts awarded to you as a result of the procurement process.

**USEFUL INFORMATION LINKS**

- Emptoris Training Guide
- Emptoris e-sourcing tool
- Contracts Finder
- Equalities Act introduction
- Bribery Act introduction
- Freedom of information Act