SURANCE



**INVITATION TO TENDER**

|  |  |
| --- | --- |
| Title: | Homes for Net Zero  |
| Tender Reference Number: | prj\_1518 |
| Deadline for Responses: | 14:00 14/07/23 |

Date: 8th June 2023

The Department for Energy Security and Net Zero (referred throughout these documents as “DESNZ” or the “Department”) wishes to commission a research project titled Homes for Net Zero.

Enclosed are the following sections:

* Section 1 (page 6) Instructions on tendering procedures
* Section 2 (page 11) Specification of Requirements
* Section 3 (page 43) Further information on tender procedure
* Section 4 (page 54) Declarations to be submitted by the tenderer;

Statement of non-collusion

Form of tender

Conflict of interest

Standard Selection Questionnaire

The General Data Protection Regulation Assurance Questionnaire for Contractors

Code of Practice for Research

* Annex A: Pricing schedule
* Annex B: Code of practice for research
* Annex C [Attached in Jaggaer]: GDPR Declaration

Please register your interest in submitting a tender through the Jaggaer platform. It can be accessed via your web browser at https://beisgroup.ukp.app.jaggaer.com/. This will ensure you receive immediate notification of updates to the ITT process or answers to questions raised by potential bidders.

Please read the instructions on the tendering procedures carefully since failure to comply with them may invalidate your tender. Your tender must be returned by the closing date clearly displayed in the Jaggaer portal.

I look forward to receiving your response.

Yours sincerely,

Name: Oliver Sutton

Email: oliver.sutton@beis.gov.uk

**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 whose CVs are submitted as part of the bid.

*Purpose*

We are processing your personal data for the purposes of the tender exercise described within the remainder of this Invitation to Tender, or in the event of legal challenge to such tender exercise.

If you intend to use the above personal data collected in the procurement exercise to evaluate the procurement exercise and obtain feedback from tenderers, you need to highlight this here and update the section on retention.

*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 the tender exercise. 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*

All tenders 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.

**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.

**CONTACT DETAILS**

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

You can contact the DESNZ Data Protection Officer at: DESNZ Data Protection Officer, Department for Energy Security and Net Zero, 1 Victoria Street, London SW1H 0ET. Email: dataprotection@beis.gov.uk.

**Section 1**

**Instructions and Information on Tendering Procedures**

Invitation to tender for: Homes for Net Zero

Tender reference number: prj\_1518

Deadline for tender responses: 14th July 2023 2:00pm

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# Indicative Timetable

The anticipated timetable for this tender exercise is as follows. The Department reserves the right to vary this timetable. Any variations will be published on Jaggaer or circulated to all organisations who have registered an interest in notifications.

|  |  |
| --- | --- |
| **Tender Timeline** | **Date** |
| Advert and full invitation to tender issued | 8/6/23 |
| Deadline for questions relating to the tender | 15/6/23 |
| Responses to questions published  | 22/6/23 |
| Deadline for receipt of tender | 2:00pm 14/7/23 |
| Invite suppliers for bid clarification(if needed) | 21/7/23 |
| All suppliers alerted of outcome | 11/08/23 |
| Ten Day Standstill | 12/8/23-21/8/23 |
| Contract award on signature by both parties | 4/9/23 |
|  |  |
| Contract start date | 11/09/23 |

The contract is to be for a period of approximately 18 months unless terminated or extended by the Department in accordance with the terms of the contract.

There is a possibility that the contract could be extended for up to a further 24 months in order to deliver a second phase of the in-home monitoring as well as the installation of additional measures. Any extension will NOT be for the purposes of delivering Phase 1 of the contract. The possibility of extension to deliver Phase 2, will be at the discretion of DESNZ and will depend on Departmental budgetary and approval processes, as well as best value for money considerations (including, without limitation, successful completion of the existing contract scope).

# Procedure for Submitting Tenders

The maximum page limit for tenders is 30 pages (excluding declarations, pricing schedule, Gantt chart, Risk Register and CVs). To apply for this tender, please register on https://beisgroup.ukp.app.jaggaer.com/. For any registration queries, please contact the Jaggaer Helpdesk on 08000 698 632 or email customersupport@jaggaer.com.

Please upload your proposal before the deadline via https://beisgroup.ukp.app.jaggaer.com/.

For questions regarding the procurement process please contact us via the “Messages” tab of the ITT on Jaggaer.

Tenders will be received up to the time and date stated. Please ensure that your tender is delivered not later than the appointed time on the appointed date. The Department does not undertake to consider tenders received after that time. The Department requires tenders to remain valid for a period indicated in the specification of requirements.

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 ITT. 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 invitation to tender. If you require further information concerning the tender process, or the nature of the proposed contract, use the “Messages” tab of the ITT on the Jaggaer portal. All questions should be submitted by 12:00 noon 15/06/23; questions submitted after this date may not be answered. Should questions arise during the tendering period, which in our judgement are of material significance, we will publish these questions with our formal reply by the end of 22/06/23 and circulate – unnamed - to all organisations that have expressed an interest in bidding. All contractors should then take that reply into consideration when preparing their own bids, and we will evaluate bids on the assumption that they have done so.

All declarations must be submitted via the Qualification Envelope of the Jaggaer portal. If any additional declarations are required, please upload these to question 1.15.1 of the qualification envelope (Appendices).

You will not be entitled to claim from the Department any costs or expenses that you may incur in preparing your tender whether or not your tender is successful.

# Conflict of Interest

The Department’s Mid-Tier Contract terms and conditions of contract 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 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 ensue 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 bidding process, organisations may contact DESNZ to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.** Any responses given to individual organisations or consortia will be published on contract finder (in a form which does not reveal the questioner’s identity). Any organisation thinking of submitting a bid, should share their contact details with the staff member responsible for this procurement, to ensure they receive an update when any responses to questions are published.
2. **Contractors are asked to sign and return ‘Declaration 3’ 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, contractors are expected to outline how they propose to achieve a robust, impartial and credible approach to the research.
3. **When tenders are scored, this declaration will be subject to a pass/fail score**, according to whether, on the basis of the information in the proposal and declaration, there remains a conflict of interest which may affect the impartiality of the research.

Failure to declare or avoid conflict of interest at this or a later stage may result in exclusion from the procurement competition, or in the Department exercising its right to terminate any contract awarded.

# Evaluation of Responses

The tender process will be conducted to ensure that bids are evaluated fairly and transparently, in accordance with agreed assessment criteria. Further details are provided in the specification.

# Terms and conditions applying to this Invitation to Tender

The Department’s Mid-Tier Contract Terms and Conditions of Contract will apply to this contract. These are available to download on https://beisgroup.ukp.app.jaggaer.com/.

# Further Instructions to Contractors

The Department reserves the right to amend the enclosed tender documents at any time prior to the deadline for receipt of tenders. Any such amendment will be numbered, dated and issued by 22/06/23. Where amendments are significant, the Department may at its discretion extend the deadline for receipt of tenders.

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

# Checklist of Documents to be Returned

* Proposal (maximum 30 pages)
* Annex A: Pricing schedule
* Declaration 1: Statement of non-collusion
* Declaration 2: Form of Tender
* Declaration 3: Conflict of Interest
* Declaration 4: Standard Selection Questionnaire
* Declaration 5: The General Data Protection Regulation Assurance Questionnaire for Contractors (Annex C [Attached in Jaggaer])
* Declaration 6: Code of Practice

**Section 2**

**Phase 1 - Specification of Requirements**

Invitation to Tender for: Homes for Net Zero

Tender Reference Number: prj\_1518

Deadline for Tender Responses: 14th July 2023 at 2:00pm

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# Introduction and summary of requirements

This research project will aim to improve the evidence base of the Department for Energy Security and Net Zero (DESNZ) to understand in more depth, the options for homeowners to transition to a home that is compatible with our Net Zero policy aims.

This will focus on practical research and monitoring of at least 1000 real homes in sectors which are recognised to be challenging to decarbonise, notably owner occupiers in gas heated homes.

The project will aim to better understand major consumer barriers for taking action and to test some measures and solutions that may help resolve these barriers in a portion of monitored homes. The project will be split into two phases. Phase 1 will focus on establishing the monitoring project and gathering evidence on the effectiveness of some low cost, low disruption measures that are lacking in real world evidence. Phase 2 will aim to test some more significant interventions as well as some innovative solutions to better understand potential ways to remove barriers through innovation. It will also look to gather high quality evidence on issues of climate resilience such as overheating and indoor air quality and potential methods to mitigate these.

This ITT is for the delivery of Phase 1 of the project. There will be an option to extend this contract for the delivery of Phase 2, but this will dependant on future funding being agreed by DESNZ. A break clause will be included in this contract at the end of phase 1, March 2025. A high level outline specification for Phase 2 is included in Section 18, to give bidders an indication of the requirements.

# Background

Homes contributed approximately 23%[[1]](#footnote-2) of UK CO2 emissions in 2020. Of these homes there are approximately 14 million in England inhabited by owner occupiers with gas central heating, this equates to 57% of all homes in England (2019). If you ignore tenure, 86% of homes in England are heated by central gas boilers which will need to change to a decarbonised heating source by 2050.

The options by which homeowners can decarbonise the energy consumption in their homes are both potentially few in terms of energy source and many in terms of technologies and other measures. Electrification of heating is one clear route to decarbonisation as we move towards a more decarbonised electricity generation system, uses of that electricity will be equally decarbonised. Providing a decarbonised gas through a version of the same gas infrastructure as we have today is another option being considered by DESNZ. There is already a number of other research studies from Government (Hy4Heat[[2]](#footnote-3)), Industry (H100[[3]](#footnote-4)) and academia, to better understand the feasibility of this option. This project therefore is not considering this option which is at an earlier stage of technical and economic feasibility assessment.

DESNZ recognises that not everyone will want or be able to carry out a one off whole house retrofit project to switch to a heat pump. Many homeowners will only want or be able to take incremental steps to improve the energy efficiency of their home and prepare their heating system for a future low carbon heating installation such as a heat pump. They may also want to prioritise measures that improve their comfort as well as reduce costs.

This project will therefore improve our evidence on the measures that homes can take to put them on the right track to be able to decarbonise their energy use when ready and willing and be compatible with our Net Zero future.

# Aims and Objectives

There are a number of high level aims for the Homes for Net Zero Project which will cut across this first phase of the project as well as future phases.

* Deliver answers to research questions by the end of 2026/27, with phase 1 outputs in 2024/25, that provide answers to multiple streams of research focussed on decarbonising energy use in homes and preparing homes for the future climate.
* This project should provide robust, reliable, transparent evidence that can be effectively utilised by policy makers to help determine the effectiveness of current polices and inform the development of new policies over the next 10 years.
* Build on the existing evidence base and make best use of complementary research activities by government and the wider research community. Where possible, the project should collaborate with other researchers and institutions to maximise the value of public funding.
* Research data and outputs should be published and made accessible, except for personal or identifiable data, for the wider research community in order to maximise the potential value of publicly funded research.
* Data collection should aid the development of assumptions in, and validation of, building energy models, in particular, the National Buildings Model and the Standard Assessment Procedure (SAP).

The objectives for the first phase of the project, which is the focus of this tender, are outlined below:

* Develop a methodology for producing net zero ready roadmaps for homes. Building on existing knowledge and methods, the project will aim to create plans for incremental improvements for homeowners to put them on a path to decarbonisation.
* Gather data and evidence on the effectiveness of simple, low cost, low disruption measures that homeowners can readily implement to put them on the path to a net zero ready home.
* Make best use of smart meters to both provide data to accurately measure gas and electricity consumption as well as providing historical data to use as the baseline energy consumption of homes. Smart meter infrastructure should also be maximised to allow for accurate and reliable data collection and processing.
* Actively engage with homeowners and other householders to include them in the decision making processes and gather behavioural data to inform complementary social research questions.
* Collect data necessary to enable Phase 2 research questions on Climate Resilience to be answered in a timely manner. This requires the establishment of a baseline of data on the internal conditions of homes in the same sample with data on internal temperatures, humidity and internal air quality to be collected in this first phase.

In order to deliver these objectives we have a number of research themes that the work will focus on. Within each of these themes there are a number of research questions that we would like to answer with the evidence gathered through the first phase of this project.

**Getting ready for Net Zero**

**Testing specific low cost, low disruption interventions that deliver energy savings.**

There are a number of measures that require quantitative evidence of their impact on energy consumption as well as qualitative evidence on consumer interest and preference for them. These should include:

* Heating system improvements
	+ hydraulic balancing
	+ heat distribution system flushing
	+ lowering flow temperatures
* Heating system upgrades
	+ upgraded emitters, providing sufficient capacity for low temperature operation (45C flow temperature)
* Energy efficiency improvements
	+ Professional draught proofing[[4]](#footnote-5)
	+ Replacing/upgrading old or poorly installed loft insulation[[5]](#footnote-6)

The primary research questions which should be the priority for answering within the project and shown in **BOLD** and are placed at the beginning of each sub-section.

**Research questions associated with the installation and monitoring of intervention measures**

* **What are the energy savings of individual measures?**
* **What are the energy savings of different packages of measures?**
* Are initial energy savings maintained over time?
* What is the cost of delivering individual measures?
* What is the relative cost of delivering individual measures vs packages of measures?
* How long will it take for measures to pay back?
* What additional benefits do measures provide?
* Have measures led to comfort taking (increasing either the time or temperature homes are heated following improvements to energy efficiency)?
* Have measures led to improvements in occupant comfort?
* Do improved controls lead to higher mean internal temperatures?
* How disruptive did consumers find the installation of the measures? Would this impact them choosing these measures if they were paying for them?

**Questions associated with developing and testing roadmaps to Net Zero for consumers**

* **What impact can simple, low-cost measures have on the cost and suitability of homes to install low carbon heating such as heat pumps?**
* **Which measures, of those offered, are more or less attractive to consumers?**
* Are there other measures, not offered, that consumers are interested in installing?
* What are the measures that most homes can take to put them on the path to a net zero compatible home?
* Which of these measures are most effective and should be prioritised?
* What is the opportunity for incremental improvement compared to whole house retrofit?

**Energy consumption trends and characteristics of homes**

* **What is the current distribution of energy consumption in homes within the monitored sample?**
* **How does the energy consumption of the trial homes compare with a representative sample of homes?**
* How does the sample of trial homes compare to the wider population of England and Wales in terms of:
	+ Occupancy
	+ Tenure
	+ Level of energy efficiency
	+ Heating systems
	+ Construction
* How do the trial participants compare to the wider population? Including:
	+ Interest and awareness of climate change and Net Zero policies
	+ Age, gender, income level, education level, language

**Climate resilience of current homes**

* **What is the current level of overheating according to recognised definitions in sample homes?**
* What is the perceived level of overheating in sample homes?
* What measures are occupants taking to manage overheating?
* What is the current level of air quality inside homes?

# Methodology

Bidders are open to suggest the best methodology they think will deliver the required research objectives and outputs of the project.

A suggested methodology has been outlined below which bidders can use to structure their approach.

**Work Package Summary**

|  |  |
| --- | --- |
| **Work Package** | **Brief description** |
| WP0 – Project management | Manage the project throughout and regularly report to the DESNZ project governance. |
| WP1 – Literature review | Review existing academic and industry literature around the research questions and develop methodology to build on existing work. |
| WP2 – Participant recruitment | Recruit and obtain homeowner agreements for at least 1000 homes into the project. Put in place any required data sharing agreements. |
| WP3 – Basic monitoring | Design, trial and deploy a basic level of monitoring for all homes in the trial including energy consumption using smart meters and internal temperatures. |
| WP4 – Detailed monitoring and interventions | For a portion of the full sample of homes, design, trial and deploy a more detailed package(s) of monitoring equipment and intervention measures to answer the research questions. Specify the number of homes within different test groups to be delivered. |
| WP5 – Roadmapping | Design, trial and deliver a consumer engagement offering that will support them on their journey to Net Zero and collect data to answer associated research questions. |
| WP6 – Data collection and processing | Collect data on energy consumption, internal temperatures, consumer preferences and behaviour for a minimum of 1 year and ensure this data is robust and reliable. |
| WP7 – Data analysis | Analyse the data arising from the project to answer the research questions. |
| WP8 – Reporting and dissemination | Provide a detailed description of the project, methodology, results and conclusions in a technical report. Summary findings from the project in an executive summary. Present findings to DESNZ and others. |
| If required,WP9 – Handover and exit  | Develop a handover or exit plan to any new supplier in readiness for Phase 2 and transfer all arising IP to DESNZ. |

**Scope**

The majority of homes should be recruited from England and Wales due to the devolved nature of energy policy in this area, however homes in Scotland and Northern Ireland are in scope for inclusion.

The target homes for this project are owner-occupiers with gas central heating and predominantly using combination boilers. The majority of the homes should be houses, with a specific minority sample of flats.

The technologies and measures included will focus on those options that are lacking in evidence of their potential or effectiveness to help meet our policy aims.

**Work Package Requirements**

**WP0 – Project management**

A single named individual should be specified to act as the Project Manager for the project. This individual should be an experienced project manager with the necessary skills and capability to deliver a complex research project with specific aspects of delivering monitoring equipment and energy efficiency measures in homes.

A clear overview of the entire project team should be presented including the role and responsibilities of any other organisations, partners or sub-contractors involved in the delivery of the project.

Project meetings should be held with the Department at a minimum of once every two weeks and once per week during the first 3 months of the project. During these meetings detailed reporting on household recruitment, household surveys, measures installations and any other interactions with households should be made.

A project steering group (chaired by DESNZ) should be established by the contractor which meets monthly and should include relevant experts from outside of the project team as well as representatives from DESNZ and other relevant government stakeholders which the Department will specify. The contractor will present key updates and progress including reporting on installations to the group and record actions and minutes. The group should be chaired by DESNZ.

Bidders should provide a summary of the key risks for the project. This should be quantified, categorised with mitigating actions proposed. Risks and issues will be actively monitored throughout the project at the regular project meetings with the Department.

**WP1 – Literature review**

A systematic review of the existing academic and grey literature should be carried out and summarised in a written report. The focus of the literature survey should be on the following questions:

* What methods have previous household energy monitoring studies used and what were the lessons learnt?
* What monitoring methods have been used in previous household energy monitoring studies and what were the lessons learnt?
* What other approaches to energy reduction, carbon reduction, or similar, roadmaps have been tested and what were the results and lessons learnt?

The findings should be used to inform the design of the monitoring system, data collection and roadmapping work packages.

**WP2 – Participant recruitment**

Recruit at least 1000 homes (+10% recognising the challenges associated with securing commitment of households throughout the project). Homes should be over-recruited to provide a reserve list of homes that can be added to the sample if homes drop out of the trial.

It is essential that homeowners are fully aware of the project and the implications when signing up to be participants. Further requirements are outlined in Section 10 – Ethics and consumer guarantees. An agreement should be developed between participants and the contractor to govern all aspects of the of data collected from participants and any works carried out within participant homes. A draft of this agreement should be provided to the Department in the early stages of the project for approval.

As outlined in the Scope section, the vast majority (90%+) of the sample should consist of homes heated by natural gas boilers with a central heat distribution system. The sample should also be predominantly gas combination boilers rather than system boilers with dedicated domestic hot water storage.

The building fabric of homes in the sample should be predominantly solid walls. An indicative estimate of a suitable sample is outlined below with the proportion of homes meeting each criteria. For example, 400 householders in mid-terrace homes are recruited, of these, at least 80% are owner occupiers, 70% are in buildings with solid walls as the predominant wall type and at least 90% have a gas combination boiler as their primary heat source.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **House type** | **Approximate number** | **Tenure** | **Wall type** | **Heating system** |
| Detached house | 40 | >80% owner occupier | >70% solid wall | >90% gas combi boiler |
| Mid-terrace house | 400 | >80% owner occupier | >90% solid wall | >90% gas combi boiler |
| Semi-detached / end-terrace house | 320 | >80% owner occupier | >90% solid wall | >90% gas combi boiler |
| Bungalow | 20 | >80% owner occupier | >70% solid wall | >90% gas combi boiler |
| Converted flat | 120 | >50% owner occupier | >90% solid wall | >70% gas combi boiler |
| Low rise flat | 100 | >50% owner occupier | >70% solid wall | >70% gas combi boiler |

**Geographical distribution**

The location of homes are likely to be distributed across the regions. For reference, the regions in which the homes are distributed with the characteristics outlined above i.e. owner occupier, with solid wall and gas central heating, is provided below. These have been grouped into five categories to reduce the complexity. The sub-regions assumed to fall within these regions have been included. Bidders should outline the regions in which they expect participant homes to be sourced from. It is **not** a requirement to meet this regional distribution.

|  |  |  |
| --- | --- | --- |
| **Region** | **Sub-regions** | **Estimated proportion of homes** |
| London |  | 30% |
| South England | South East, South West | 13% |
| Midlands England | East Midlands, West Midlands, East of England | 25% |
| North England | North East, North West, Yorkshire and Humber | 25% |
| Wales |  | 7% |

Recruiting homes into monitoring trials is challenging. Therefore, utilising an existing sample of homes that have been, or are still, part of an existing trial is within scope.

The homes involved in the trial should primarily not have taken significant steps towards becoming Net Zero ready. Where possible, homes taken from existing trials should not have already had significant energy efficiency or low carbon heating interventions. For example, heat pumps, solid wall insulation or other major energy efficiency retrofit. Minor measures such as loft insulation, double glazing, advanced heating controls are acceptable.

A key objective of this project is to make best use of smart meters for the monitoring of energy consumption. All homes within the trial should therefore have a smart meter (likely to require these to be SMETS2) installed and connected to the GB Smart Metering Infrastructure. We expect bidders will need to liaise with the Data Communications Company (DCC) to access Smart Meter data of trial homes.

**WP3 – Basic monitoring**

All homes recruited into the trial should have a basic level of monitoring. This should include:

* energy consumption of both electricity and natural gas and any other source of energy used of space or water heating. Data should be collected half-hourly at a minimum;
* internal temperature of the main living space, the main bedroom and for homes with 2+ bedrooms, one other bedroom. Data should be collected hourly at a minimum.

The basic monitoring system should be designed in the early stages of the project and should meet the objectives of the project and enable the research questions to be answered. Future phases of research may make interventions associated with mitigating overheating in homes therefore internal temperatures of all homes should be collected for at least 12 months. This monitoring design will be approved by the Department before it is tested.

The monitoring system should ensure that data is robust, reliable and transparent and enable the potential for the monitoring to continue beyond this initial phase of the research. Consideration of the continuing operation of internal temperature sensors should be made within the monitoring design.

A piloting approach to the monitoring system developed is recommended to ensure the solution is robust and reliable before the monitoring is deployed to all of the trial homes.

**WP4 – Detailed monitoring and interventions**

A portion of the homes within the trial should be used to test some more specific interventions with a more advanced level of monitoring to answer the proposed research questions.

A series of Test Groups are suggested to clearly distinguish the impact of interventions in homes. A balance will need to be struck between the number of test groups, the number of homes within each group and the cost of delivering the interventions and associated monitoring. The proposed scenario outlined in the *Test Groups Section* below, provides an estimate of these numbers which is considered deliverable within the proposed budget. It is expected that during the course of the trial these numbers will change depending on the interactions with households. The attractiveness and take-up of measures is a key research question therefore these numbers are not a prescriptive quota to achieve.

The homes undergoing interventions should also have some additional monitoring equipment installed to enable the impact of those measures to be quantified as well as gather a more in depth data set on the energy use in those homes. This could include sub-metering of particular high energy using appliances, heat metering of the primary distribution system, occupancy data, heating schedules and thermostat temperature set points.

For all homes in which interventions are carried out, a detailed technical survey of the building should be conducted. This survey should be in-line with the latest version of the Standard Assessment Procedure (SAP) and enable the assessment of the current suitability of installing an air-source heat pump, e.g. a room-by-room heat loss calculation and assessment of heat emitter output. For the SAP assessment, a draft version of latest version of SAP will be provided to the contractors for use.

As with the basic monitoring work package, it is expected that the design of the detailed monitoring systems and the proposed intervention packages would take place in the early stages of the project with the Department agreeing these designs and proposals before they are deployed in any homes. This would include a delivery plan associated with the installation of measures and monitoring equipment in homes. This delivery plan should include details on the following criteria:

* Project Management
* Risk Management
* Communication and Consumer Engagement
* Homeowner Agreement – includes data sharing agreement for smart meter data, pre-trial and during trial, personal data and any other data collected as part of the trial.
* Safety
* Quality of installation and guarantees
* Resource management
* Timeline
* After-care

This approach to delivery should also be piloted in a limited to number of homes with lessons learned fed back into the delivery plan before the full deployment of measures and detailed monitoring is carried out.

**Measures**

All measures tested in the trial will be fully funded by the project. Consumers who wish to fund additional measures themselves will be able to as outlined in the *Consumer Contributions Section* below.

There are a number of core measures that should be deployed to answer the research questions. These have been outlined below and grouped together with a short description of the sort of installations and intervention envisaged to test the package of measures.

**Heating System “MOT”**

A thorough assessment of the current heating system installed, including an assessment of the heat load of the building and the suitability of the system to provide the necessary heating service to the occupants.

A full maintenance check of the boiler, distribution system and associated components i.e., pumps, pipework, valves, emitters.

Carry out power flushing of the distribution system and install, if not present, a magnetic filtration system.

Ensure the heating system is hydraulically balanced, this could include conventional manual balancing of emitters or automatic self-balancing valves.

Where necessary, make adjustments and improvements to optimise the efficiency of the heating system, including adjustments to the heating supply temperature and other controls if present in consultation with the occupants.

Additional monitoring equipment that is likely to be required include heating controls in which set points and schedules can be set and recorded, sub-metering of significant electrical loads and heat metering of the primary heating system.

**Heating System “MOT”+**

This group of homes would have the same set of measures and monitoring equipment as outlined in the Heating System “MOT” but would also upgrade their heat emitters to enable the home to be heated with a low heating distribution temperature of ~45C. This can include increasing the volume of water through similar footprint emitters e.g., going from one panel to two panels, increasing the size or changing materials.

**Targeted Energy Efficiency**

This group of homes will have some specific measures carried out in order to test their effectiveness in reducing energy consumption. These measures are:

**Professional Draught Proofing**

A thorough assessment of the designed ventilation in place and its current effectiveness e.g., trickle vents on windows, air bricks, extraction fans etc.

A visual assessment of any visible causes of unwanted ventilation e.g., structural cracks, gaps in window reveals, poorly fitted materials and exterior elements (external cables, doors etc). This assessment could also include use of thermal imaging cameras to identify thermal losses from air infiltration.

Identify and carry out improvements to minimised un-planned ventilation in accordance with the standards set out in PAS2035 (Annex C [Attached in Jaggaer]).

**Loft Insulation Refresh**

For homes which already have loft insulation that is either more than 20 years old or identified by a professional installer as having been poorly installed.

An accredited insulation professional will clear the loft space, remove any existing old or poorly installed insulation and carry out a new loft insulation installation and replace all items removed from the loft space according to occupant preference.

Details of the existing state of the loft should be recorded and a sample of any old insulation material should be collected and stored for future analysis.

**Behavioural measures**

There are a number of potential measures to test which are focussed on the occupants taking specific actions based on suggestions and guidance from the project. These measures would not include any equipment additional to the basic monitoring for all homes but would include some additional surveys or survey questions. Measures could include, but are not limited to:

* Adjustment to heating schedules, set points, controls;
* Adjustment to heating system output temperature;
* Turning off equipment when not in use.

**Consumer Contributions**

This group of homes is aimed at understanding how some additional, complimentary measures which are commonly understood to be beneficial and support greater levels of energy efficiency. The evidence base for these measures is well understood and is therefore not the focus of the study. However, it is recognised that home-owners may want to supplement the measures in this study with additional works. In this group therefore home-owners would be able to fund additional measures. This group would also provide evidence for the willing-to-pay market.

Core measures outlined above would still be offered free to home-owners i.e., heating system “MOT”, loft insulation refresh and professional draught proofing. The following additional measures would be provided as optional add-ons if they are relevant and are home-owners are willing to fund them:

* Double glazing;
* Energy efficient doors;

**Test Groups**

A summary of the proposed test groups including measures installed, additional monitoring equipment to the baseline monitoring and the approximate number of homes in each group is outlined below.

|  |  |  |  |
| --- | --- | --- | --- |
| **Group Number**  | **Measures included** | **Additional monitoring** | **Approx. No. of homes** |
| 1 | Heating system “MOT” | Electricity sub-meteringHeat meterHeating controls | 40 |
| 1a | Heating system “MOT” + | Electricity sub-meteringHeat meterHeating controls | 20 |
| 2 | Professional draught proofingLoft insulation refresh | Electricity sub-metering | 40 |
| 2a | Loft refresh | Electricity sub-metering | 40 |
| 2b | Professional draught proofing | Electricity sub-metering | 40 |
| 3 | Behavioural measures |  | 100 |
| 4 | Heating system “MOT”Professional draught proofingLoft insulation refresh(Double glazingEfficient doors[[6]](#footnote-7)) | Electricity sub-meteringHeat meterHeating controls | 20 |

**WP5 – Roadmapping**

Design a method of consumer engagement to support homeowners make medium to long term plans for the changes to their home, appliances and systems to transition to a net zero ready home. Roadmaps should use the principles outlined in PAS2035 and use creative ways of engaging homeowners using evidence based advice and guidance.

The key objective of this Work Package is to design and test a process which provides consumers with an understanding of the likely changes required to their home to become Net Zero ready and to outline potential routes for achieving this. For example, it may describe a future heat pump installation and what this would entail but also describe the relative costs and benefits of additional measures that could impact this such as external solid wall insulation in order to give the consumer a greater understanding of the routes they could take and how they may want to plan these measures over time.

It is not the intention for this approach to replace current Government consumer advice in this area but to research a different approach, and better understand the costs and benefits of this approach.

The proposed approach should be designed in the early stages of the project and should meet the objectives and enable the research questions to be answered. The roadmapping approach should be embedded within the delivery plan for the installation of measures. The roadmapping approach should be presented to and approved by the Department before it is tested on trial participants.

The roadmapping approach should be piloted in a small number of homes with lessons learned fed back into the process design before they are rolled out to trial participants.

In order to test the impact and influence of the roadmapping approach test groups should be established varying specific parameters such as measures being installed in homes within the trial and baseline awareness for net zero policy. For example:

|  |  |  |  |
| --- | --- | --- | --- |
| **Test Group** | **Measures included** | **Net Zero awareness** | **Number of homes** |
| RM1 | none | low | 25 |
| RM2 | yes | low | 25 |
| RM3 | none | high | 25 |
| RM4 | yes | high | 25 |

A minimum of 100 homes should undertake the proposed roadmapping process.

Questions for surveys carried out in the trial should be designed to evaluate the roadmapping approach. Further details of survey requirements are outlined in Work Package 6.

**WP6 – Data collection and processing**

All data collected as part of this project should adhere to the principles of being robust, reliable, secure and transparent. Details of specific requirements for data protection are outlined in Section 12 and cyber security in Section 13.

**Baseline data**

It is important to be able to set a reliable baseline in order to establish the impacts of the interventions carried out in the trial and potential future phases of the research.

The proposed approach to determine the baseline of energy consumption of homes in the trial is to select homes that have a Smart Meter and request 12 months worth of electricity and gas consumption data prior to the start of the trial. This will require explicit agreement from homeowners and should form part of the homeowner agreement in the Delivery Plan.

Future phases of research may make interventions associated with mitigating overheating in homes therefore internal temperatures of all homes should be collected for at least 12 months which is outlined in WP3 - Basic Monitoring.

**Counterfactual / Control Group**

In order to evaluate the impact of the proposed interventions it is also necessary to have a counterfactual group of homes that are not experiencing the proposed measures in the trial. This could be achieved in two primary methods.

* Access data from a similar trial in which energy consumption data is being collected over the same period, for example the Smart Energy Research Lab (SERL[[7]](#footnote-8)).
* Utilise a portion of the trial homes as a control group. This group should be at least as large as the number of homes in which interventions are taking place but can be from within the 1000 homes recruited.

**Surveys**

In order to gather contextual information about the homeowners, the buildings and answer the research questions, surveys are expected to be required in the early stages of the project. Surveys should gather information about the occupants demographics, their current attitudes to the policy area, their current behaviour related to energy use and the characteristics of their home e.g., heating system, level of insulation etc. Existing Energy Performance Certificates (EPCs) should be used wherever possible to supplement the surveys and collect data on the buildings. Initial surveys should be carried out for all homes within the trial.

The specific social research methods proposed to carry out the surveys should be described by bidders.

Follow up surveys should be carried out following the installation of measures in homes to understand the impact of the measures on the occupants and to evaluate the benefits of the interventions.

If existing surveys are available from participants or organisations that have been part of existing trials, these can be used following the necessary agreement with the homeowner. Any existing data used should be described in the Data Management Plan and the process for managing its use.

**Indoor air-quality**

In order to better understand the indoor air quality in homes monitoring of indoor air quality should be provided for a minimum of 30 homes. These homes should all have some use of gas for cooking (either hob, over or both) and where possible, include homes that use wood fired stoves for secondary heating.

Indoor air-quality monitoring should be in the main living area and include as a minimum, measurement of:

* Relative humidity
* Carbon monoxide (CO);
* Particulate Matter (PM2.5)
* Volatile Organic Compounds (VOCs)

**Weather data**

External weather data should be collected from weather station records which are closest to each trial home. Weather data should be at least hourly and include but not be limited to:

* External temperature (C);
* Relative humidity;
* Solar radiation.

**Data Processing**

A Data Management Plan detailing how data will be collected and managed during and after the research project, should be developed in the early stages of the project and presented to the Department for approval before any data is collected from trial participants. This plan should include details on the following areas:

* Data collection.
* Data processing, validation, quality assurance and control.
* Data analysis and synthesis.
* Data security, access and storage.

Bidders should provide an outline of this plan in their bids with specific reference to how any personal data will be managed in accordance with GDPR and the requirements set out in Section 12. This should also include a description of the data flows within the project between data collected from trial participants and all organisations involved within the project.

**Data Monitoring and reporting**

The quality and consistency of data collected should be continuously monitored. It should be reported to the Department at regular project meetings at least, every two weeks. Any issues with data quality or completeness should be identified as early as possible and attempts made to rectify the issue. Details of this approach should be outlined in the Data Management Plan and bids should include an overview of the intended approach.

**WP7 – Data analysis**

A programme of data analysis should be outlined in bids, specifying how data collected during the trial will support answers to the research questions. An interim phase of data analysis should be conducted to draw out preliminary findings from the research before the full monitoring period has been completed. This preliminary analysis should be carried out following the completion of installation of measures and monitoring equipment.

This should be presented as a preliminary findings report to the Department.

An in-depth analysis of the data should be carried out towards the end of the monitoring period with at least 1 month to report the findings to the Department through the outputs listed in Section 5.

All data analysis of the impact of measures on energy consumption should be presented as weather corrected and non-corrected, in accordance with a methodology proposed by the contractor with approval by the Department.

**WP8 – Reporting and dissemination**

Reporting and dissemination of the project findings targeted at both technical and non-technical audiences. Reporting should adhere to the best practice guidelines for research as outlined in the Code of Practice for Research (Annex B).

Details of each output required are outlined below in Section 5.

A dissemination presentation should be held for a non-technical audience summarising the project and its key findings.

**(If required) WP9 – Handover and exit**

In the event that the project is not extended into Phase 2 with the contractor, preparations will need to be made to either handover all aspects of the project to another contractor or close down the project.

Contractors will be informed at least 3 months before the end of the contract if this work package is required and whether a project handover or exit is needed.

In the event of a project handover, a detailed handover report should be produced detailing all aspects of the project and its delivery. All data and systems for data collection should be prepared to be handed over to another party. The timeline and practicalities of the handover will be agreed with the Department and/or any other organisation the Department has assigned. Following the handover of the project, the contractor should delete all data and information related to the project.

In the event of the project closing down. The contractor should provide the option for participants to have any equipment that can be readily removed, such as monitoring equipment, removed from their home. All other equipment not requested to be removed by participants will become the property of the participant at the end of the trial. At the end of the contract period following completion of all of the outputs, all personal data collected as part of the project should be deleted.

# Outputs Required and Milestones

**Project Delivery Plan**

This delivery plan should include details on the following criteria:

* Project Management
* Risk Management
* Communication and Consumer Engagement
* Homeowner Agreement – includes data sharing agreement for smart meter data, pre-trial and during trial, personal data and any other data collected as part of the trial.
* Safety
* Quality of installation and guarantees
* Resource management
* Timeline
* After-care

**Data Management Plan**

A Data Management Plan detailing how data will be collected and managed during and after the research project, should be developed in the early stages of the project and presented to the Department for approval before any data is collected from trial participants. This plan should include details on the following areas:

* Data collection (including any data sharing agreements required).
* Data processing, validation, quality assurance and control.
* Data analysis and synthesis.
* Data security, access and storage.

**Preliminary Findings Report**

A preliminary findings report should be completed following the installation of measures and monitoring equipment. This should include findings from the research preparation phase, any piloting of methods and the surveys carried out prior to installation of measures.

**Final Technical Report**

A full technical report would be completed at the end of the project including and introduction to the project and its purpose, the methodological approach, the results from the data analysis and supporting research, conclusions based on the initial research questions and recommendations for taking the trial forward in future phases including proposals for future research utilising the data collected and additional interventions. Bidders should allow time for at least 2 revisions with the Department requiring at least one week for review between revisions.

**Executive Summary Report**

A non-technical Executive Summary report should also be completed, aimed at a non-technical audience in a short format. This should be supported by an engaging method pf presenting the results from the project for example a project video presentation.

**Dissemination Presentation**

A dissemination presentation should be held for a non-technical audience summarising the project and its key findings. The slide pack used for the presentation should also be provided.

**Data Sets**

All data sets collected throughout the trial should be provided to the Department, including all raw data collected from the monitoring equipment, the processed data sets and final anonymised data sets that can be published without disclosing personal information, raw survey data and processed survey data.

A summary of the outputs, an estimate of their required delivery date and the associated project milestone for payment is outlined below. Bidders can suggest interim milestones if required.

|  |  |  |
| --- | --- | --- |
| **Output** | **Estimate date of delivery** | **Proportion of project cost** |
| Project Delivery PlanData Management Plan | 31/10/23 | 10% |
| Preliminary findings report | 30/06/24 | 40% |
| Final Technical ReportExecutive Summary Report | 03/03/25 | 40% |
| Dissemination PresentationPresentation slide packFinal data sets | 29/03/25 | 10% |

# Ownership and Publication

The Départment is committed to openness and transparency. All outputs (with the exception of project updates) should be accessible and suitable for publication and further use.

The exceptions to this are where data is personal or commercially sensitive. In these cases, handling of this sensitive data should be clearly outlined in the Data Management Plan and should be in accordance with the requirements set out in the Section 12 - Data Protection.

If these exceptions apply to any part of the outputs, contractors should indicate this in their proposal alongside their proposed approach to managing this.

Unless the above exceptions have been stated in a proposal, all outputs and intellectual property arising from this commissioned research project will be assumed to be owned by the Department.

# Quality Assurance

This project must comply with the DESNZ Code of Practice for Research (Annex B) and bidders must set out their approach to quality assurance in their response to this ITT.

Bidders should include a quality assurance plan that they will apply to all of the Work Packages and specified outputs.

To demonstrate relevant experience in producing high quality reporting, the bidder must specify who will be responsible for quality assurance. This must be undertaken before information is issued for review and onward circulation to the Department.

Sign-off for the quality assurance must be done by someone of sufficient seniority within the contractor organisation to be able take responsibility for the work done. Acceptance of the work by the Department will take this into consideration. The Department reserves the right to refuse to sign off outputs which do not meet the required standard specified in this ITT.

The successful bidder will be responsible for any work they or their sub-contractors supply and should therefore provide assurance that all work in the contract is undertaken in accordance with the Code of Practice.

Other useful sources of guidance and advice that will help bids and the resulting work be of the highest quality include:

* The Government Social Research Code, in particular those that relate to GSR Products: [www.civilservice.gov.uk/networks/gsr/gsr-code](http://www.civilservice.gov.uk/networks/gsr/gsr-code)
* The Green Book: appraisal and evaluation in central government. [www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-governent](http://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-governent)
* Rapid Evidence Assessment (REA):

[www.civilservice.gov.uk/networks/gsr/resources-and-guidance/rapid-evidence-assessment/what-is](http://www.civilservice.gov.uk/networks/gsr/resources-and-guidance/rapid-evidence-assessment/what-is). This toolkit will help researchers to identify whether a Rapid Evidence Assessment is best for their needs, and help with the process of planning and carrying out a review.

Where relevant, all bids should refer to these pieces of guidance and advice and how they will be used.

The Contractor will be expected to produce high quality reports that meet the following criteria:

General:

* Answer the research questions clearly, in plain English
* Clearly structured so that information presented in each section of each report is clear
* Connections between sections are clear
* Executive summaries that set out the findings clearly and their relevance to Department policies
* All sections have clear introductions and conclusions (including findings being written concisely upfront)
* The report is concise and does not include vast annexes.

Use of good quality English:

* Thoroughly reviewed for writing quality
* No jargon is used and all terms are defined and referenced clearly
* All acronyms are written out in full the first time that they are mentioned in each section of each report
* No grammar and phrasing errors
* No typographical errors present
* Concise sentences and paragraphs

Visualisations:

* All visualisations are labelled
* All axes are labelled, including with appropriate units
* Clear and appropriate use of visualisations (large enough size, data can be read clearly without reference to the raw data, and there are not too many visualisations presented at once)
* All visualisations are clearly explained and discussed
* A range of different types of visualisations are used to provide more interesting and innovative ways of presenting the results

Data quality:

* Limitations in the research approach need to be clearly stated and justified
* Further research should be stated to build upon the limitations that cannot be addressed in the research
* Where the findings are stronger and more robust and where they are not needs to be stated clearly
* Appropriate and consistent use of units
* All numerical units should include the range of uncertainty / error margin

# Timetable

Bidders should include a clear timeline of their proposed work packages, their interdependencies, allocated resources and the critical path through the delivery of the project. An indicative timeline for the project is outlined below.

|  |  |  |
| --- | --- | --- |
| **Work Package** | **Start**  | **End** |
| 1 – Literature review | Mid-Sept 2023 | Oct 2023 |
| 2 – Participant recruitment | Oct 2023 | Mid-Nov 2023 |
| 3 – Basic monitoring (design, testing, deployment)Department approval of monitoring design | Mid-Sept 2023Nov 2023 | Apr 2024Nov 2023 |
| 4 – Detailed monitoring and interventions (design, testing and deployment)Department approval of detailed monitoring design | Oct 2023Jan 2024 | May 2024Jan 2024 |
| 5 – Roadmapping (design, testing, deployment) | Oct 2023 | Feb 2024 |
| Department approval of Roadmapping design | Jan 2024 | Jan 2024 |
| Roadmapping follow-up survey | Dec 2024 | Dec 2024 |
| 6 – Data collection and processing | Jan 2024 | Ongoing unless project closes |
| 7 – Data analysis | Jan 2024 | Jan 2025 |
| 8 – Reporting and dissemination | Feb 2025 | Mar 2025 |
| *9 – (If required) Handover and Exit* | Dec 2024 | Mar 2025 |

# Challenges

**Liability**

Any works or installation of equipment associated with the delivery of the requirements of this project in participant homes.

The Buyer holds the Supplier (and any subcontractors) liable for any loss and or damage it causes to the participating householders’ homes, “the premises”, during the installation, use and removal of the monitoring equipment and the implementation of any measures/activities in relation to the delivery of this contract. The Supplier is responsible for repairing any damage to the premises or any objects on the premises, other than fair wear or tear.

The Supplier will comply with any health and safety requirements in relation to the installation, use and removal of the monitoring equipment and the implementation of any measures/activities in relation to the delivery of this contract at the Premises.

The Supplier will immediately notify the Buyer of any incident at the premises that causes any damage to the premises and/or objects on the premises and also advise what remedial action will be taken to rectify the issue.

As a separate and independent obligation and liability, the Supplier will indemnify and compensate the Buyer against any claims, losses and expenses which may result from the Supplier causing damage to the premises and or any objects on the premises during the installation, use and removal of the monitoring equipment and the implementation of any measures/activities in relation to the delivery of this contract.

Contractors should ensure they have sufficient, relevant, insurance in place to cover any possible issues including, but not limited to, professional indemnity insurance of at least £2m.

Specific requirements for levels of liability insurance are outlined in Schedule 22 of the T&Cs

**Participant Recruitment**

Recruiting participants into the trial within the time and budget allowed for the project is recognised to be challenging. Bidders should make clear in their proposal their approach for securing 1000+ homes to participate in the trial. This can include the following methods to streamline this work package:

* Recruiting homes from existing trials in which engagement has already taken place. If so, bidders should make clear that they already have in place an agreement with the organisation responsible for this existing trial and that these homes can be approached, and that existing data can be shared.
* Incentives for homeowners in the form of vouchers or other non-cash based incentive to encourage participation. The cost of any incentives should be clearly stated in bids and be included within the total price and budget allocated for this project. Individual incentives should not exceed £100/household.

**Installation of measures and monitoring equipment**

In order to deliver the objectives and requirements of the project within the budget allocated it is recognised that it is unlikely to be feasible to visit in-person every home recruited into the trial. Innovative methods for installing monitoring equipment in homes which are not visited in person are expected to be required. This may include self-installation of equipment posted to trial participants or virtual assistance for installation. Bidders should outline how they intend to provide and arrange for installation of the basic monitoring equipment for all trial homes.

**Monitoring**

Monitoring homes for the duration of the trial is expected to result in numerous issues both expected and unexpected. Bidders should outline how they intend to manage the ongoing monitoring of homes, maintain the number of homes within the trial and ensure that data collection remains robust, reliable and of high quality.

Ensuring a robust and coherent data set is important to ensure the research findings from this data are of a high quality. Data completeness for all monitored data sets should be at least 90% throughout the period being monitored. The approach for achieving this minimum level of data completeness should be detailed in the Data Management Plan.

# Ethics and consumer guarantees

It is essential that all homes recruited into the trial are fully aware of the implications of agreeing to participate. Explicit consent should be sought for all trial participants. The details of the project and the types of interventions homes may experience should be fully outlined and made accessible through multiple channels. A website will be created on .gov.uk which will provide the contractor the opportunity to include details of the trial, contact information and relevant privacy and security statements. The website will be operated and managed by the Department.

It is essential that all work taking place in participant homes is of a high standard and that any equipment placed in homes is safe, reliable and unobtrusive. All measures installed should be carried out by Trustmark accredited personnel. Bidders should outline how they will ensure that high quality standards are met throughout the delivery of the monitoring equipment and installation of measures.

Bidders should provide adequate resources and processes to manage any customer complaints or questions resulting from their participation in the project. The Department should be made aware of any complaints the contractor receives and they should be resolved by the contractor quickly.

Where applicable, bidders will need to identify and propose arrangements for initial scrutiny and on-going monitoring of ethical issues. The appropriate handling of ethical issues is part of the tender assessment exercise and proposals will be evaluated on this as part of the addressing challenges and within the Project Management and Risk criterion.

We expect contractors to adhere to the following [Government Social Research Principals:](https://eur02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.gov.uk%2Fgovernment%2Fpublications%2Fethical-assurance-guidance-for-social-research-in-government&data=04%7C01%7CRebecca.Evans%40beis.gov.uk%7Cb0bbb32753c948fc7c4208d9f86429dd%7Ccbac700502c143ebb497e6492d1b2dd8%7C0%7C0%7C637813931337381362%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=bdhYWPCFVjXZOOY2F%2BMlCoMOIGjWf6zuTzZlJrzOul8%3D&reserved=0)

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

# Working Arrangements

The successful contractor will be expected to identify one named point of contract 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.

A Microsoft Teams site hosted by the Department will be used to store project documents and between the contractor and the Department. All operational correspondence between the Department and the contractor should be recorded on the Teams Site.

Regular project meetings should be held at least weekly until all installations of measures are complete, and at least every two weeks until the end of the project.

1. **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.](https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/)

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:

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

Email: dataprotection@beis.gov.uk

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

|  |  |
| --- | --- |
| **Description** | **Details** |
| Subject matter of the processing | The processing is needed in order to ensure that the Contractor can effectively deliver the contract to provide recruitment of households into the project, the installation of monitoring equipment and energy efficiency measures and the collection of data to support the research carried out. 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. 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. |
| Duration of the processing | Processing will take place from 11/09/23 for the duration of the Contract. The Contract will end on 31/03/25 but may be extended until 31/03/27.  |
| Nature and purposes of the processing | The nature of the processing will include collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination ad erasure or destruction of data at the conclusion of the contract or if requested by project participants.Processing takes place for the purposes of research. 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 names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract. |
| Type of Personal Data  | Names, addresses, demographic data (age, gender, ethnicity, nationality, social status, income status, disability status), telephone number, email address, images and video recordings of individuals, of occupants within households that agree to participate in the project.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 | Members of the public in households who have agreed to participate in the project.Members of the public who have been contacted about the project but did not agree to participate.Staff of the Authority and the Contractor, including where those employees are named within the Contract itself or involved within contract management and including any staff working for sub-contracted organisations working on the project. |
| Plan for return and destruction of the data once the processing is completeUNLESS requirement under European member state law to preserve that type of data | The Contractor will provide the Authority with a complete and uncorrupted version of the Personal Data in electronic form (or such other format as reasonably required by the Authority) and erase from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract. The Contractor will certify to the Authority that it has completed such deletion. 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 Tender.  |

The nature of the service will require the Contractor to collect personal data directly from data subjects. The Contractor will use the agreed DESNZ privacy notice as instructed by the Authority. The Contractor should make the privacy notice available for individual households to access through both digital and physical means.

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.

1. **Cyber Security**

In line with [HM Government’s Cyber Essentials Scheme](https://www.gov.uk/government/publications/cyber-essentials-scheme-overview), the Contractor will hold valid Cyber Essentials certification 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 Mid-Tier Contract 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.

# Skills and experience

DESNZ would like you to demonstrate that you have the experience and capabilities to undertake the project. Your tender response should include a summary of each proposed team members experience and capabilities.

Contractors 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.

Contractors should identify the individual(s) who will be responsible for managing the project.

# Consortium Bids

In the case of a consortium tender, only one submission covering all of the partners is required but consortia are advised to make clear the proposed role that each partner will play in performing the contract as per the requirements of the technical specification. We expect the bidder to indicate who in the consortium will be the lead contact for this project, and the organisation and governance associated with the consortia.

Contractors must provide details as to how they will manage any sub-contractors and what percentage of the tendered activity (in terms of monetary value) will be sub-contracted.

If a consortium is not proposing to form a corporate entity, full details of alternative proposed arrangements should be provided in the Annex. However, please note the Department reserves the right to require a successful consortium to form a single legal entity in accordance with Regulation 19 of the Public Contracts Regulations 2015

The Department recognises that arrangements in relation to consortia may (within limits) be subject to future change. Potential Providers should therefore respond in the light of the arrangements as currently envisaged. Potential Providers are reminded that any future proposed change in relation to consortia must be notified to the Department so that it can make a further assessment by applying the selection criteria to the new information provided.

# Budget

The budget for the first phase of this project is £1million - £1.2million excluding VAT.

The indicative budget for phase 2 of the project is £2million – £2.5million excluding VAT. The price provided for each phase must not exceed the maximum budget for each phase.

Contractors should provide a full and detailed breakdown of costs for phase 1 and phase 2 of the project at Annex A “Pricing Schedule”. This should include staff (and day rate) allocated to specific tasks.

Cost will be a criterion against which bids which will be assessed. The total price for Phase 1 and Phase 2 will be added together and it is this combined price which will be scored.

Payments will be linked to delivery of key milestones. The indicative milestones and phasing of payments is as follows. This can be adjusted and agreed with the contractor based on the tender response. Please advise in your tender response how this breakdown reflects your usual payment processes:

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Estimate date of delivery** | **Proportion of project cost** |
| Project Delivery PlanData Management Plan | 31/10/23 | 10% |
| Preliminary findings report | 30/06/24 | 40% |
| Final Technical ReportExecutive Summary Report | 03/03/25 | 40% |
| Dissemination PresentationPresentation slide packFinal data sets | 29/03/25 | 10% |

In submitting full tenders, contractors confirm in writing that the price offered will be held for a minimum of 60 calendar days from the date of submission. Any payment conditions applicable to the prime contractor must also be replicated with sub-contractors.

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 Mid-Tier Contract terms and conditions.

# Evaluation of Tenders

Contractors are invited to submit full tenders of no more than 30 pages, (excluding declarations, pricing schedule, Gantt chart, Risk Register and CVs). Tenders will be evaluated by at least three DESNZ staff.

DESNZ will select the bidder that scores highest against the criteria and weighting listed below:

* **Conflict of interest:** pass/fail. See page 8 of the ITT for further information
* **Price within respective budgets for Phase 1 and Phase 2:** pass/fail. See Section 16 “Budget”

**EVALUATION CRITERIA AND SCORING METHODOLOGY**

|  |  |  |
| --- | --- | --- |
| Criterion | Description | Weighting |
| **1** | **Research Methodology** Demonstrate that the methods proposed will both answer the research questions and deliver the outputs specified. | **30%** |
| 1a | * Demonstrate a clear, robust, detailed approach for **recruiting the required number of homes** into the trial.
 | (10%) |
| 1b | * Demonstrate a clear, robust, detailed approach for **monitoring homes** to the required level to answer the research questions and deliver the required outputs.
* Bidders should outline how they intend to manage the ongoing monitoring of homes, maintain the number of homes within the trial and ensure that data collection remains robust, reliable and of high quality.
* Outline the proposed data analysis to adequately answer the research questions.
 | (10%) |
| 1c | * Demonstrate a clear, robust, detailed approach for **delivering roadmaps and interventions** for homeowners to the required level to answer the research questions and deliver the required outputs.
* Detail the social research methods proposed to achieve the objectives.
 | (10%) |
| **2** | **Project Delivery**Demonstrate that the proposed approach will meet the requirements of the project, within the allotted timeframe. | **20%** |
| 2a | Demonstrate a clear, detailed approach to delivering the project. This should include; * Gantt chart with clear work packages, timelines, dependencies and a critical path. Allocation of resources should clearly presented.
* An outline project delivery plan detailing the approach to delivery, including section on: Communication and Consumer Engagement, Homeowner Agreements, Safety, Quality of installation and guarantees, Resource management, After-care.
* An outline data management plan, detailing how any personal data will be managed in accordance with GDPR and the requirements set out in Section 12. This should also include a description of the data flows within the project between data collected from trial participants and all organisations involved within the project and how data will be collected, validated, processed, analysed and secured.
 | (10%) |
| 2b | * Demonstrate a clear understanding of the delivery challenges, identify realistic solutions for meeting these challenges and detail the process proposed to deal with any issues that arise and provide assurance that they will be dealt with effectively.
* Outline how you intend to maintain the required number of homes in the project and how you will ensure data collection remains consistent and of high quality.
 | (10%) |
| **3** | **Project Management and Risk*** Outline the roles and responsibilities of the project team and any other organisations involved in the delivery of the project.
* Outline a proposed Steering Group with an indicative list of named members external to government.
* Contractors 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
* Clearly describe the project management approach including internal management of the project and reporting to the Department.
* Demonstrate a clear understanding of the risks (including ethical risks) associated with the project. This should include a risk register which is quantified, categorised and with clear and realistic mitigating actions.
 | **15%** |
| **4** | **Skills and Technical Capability**Provide details of the project team, including CV’s (of no more than 2 pages each) and organisational structure. Provide evidence that the team has the relevant skills, capabilities, qualifications and certification to undertake this specific project.  | **15%** |
| 4a | * Provide evidence that the team has the relevant skills, capabilities, qualifications and certification to recruit homes into the trial and design, test and deliver an in-home monitoring system.
 | (5%) |
| 4b | * Provide evidence that the team has the relevant skills, capabilities, qualifications and certification to manage the delivery of the project and deliver installation of the specified measures in homes to a high standard.
 | (5%) |
| 4c | * Provide evidence that the team has the relevant skills, capabilities, qualifications and certification to carry out a systematic literature review, analyse the data gathered through the trial, design, test and deliver a Net Zero roadmapping process and report on research findings.
 | (5%) |
| **5** | **Cost**Price will be marked proportionately to the lowest compliant bid. An example is shown below. | **10%** |
| **6** | **Social Value**Describe the commitment your organisation will make **to** ensure that opportunities under the contract influence staff, suppliers, customer, and communities to support environmental protection and improvement.Please include:● your ‘Method Statement’, stating how you will achieve this and how your commitment meets the Award Criteria, and● a timed project plan and process, including how you will implement your commitment and by when. Also, how you will monitor, measure and report on your commitments/the impact of your proposals. You should include but not be limited to:○ timed action plan○ use of metrics○ tools/processes used to gather data○ reporting○ feedback and improvement | **10%** |
|  | **100%** |

**Scoring Method**

Tenders will be scored against each of the criteria above, according to the extent to which they meet the requirements of the tender. The meaning of each score is outlined in the table below.

The total score will be calculated by applying the weighting set against each criterion, outlined above; the maximum number of marks possible will be 100. Should any contractor score 1 in any of the criteria, they will be excluded from the tender competition.

|  |  |
| --- | --- |
| **Score** | **Description** |
| 1 | Not Satisfactory: Proposal contains significant shortcomings and does not meet the required standard |
| 2 | Partially Satisfactory: Proposal partially meets the required standard, with one or more moderate weaknesses or gaps  |
| 3 | Satisfactory: Proposal mostly meets the required standard, with one or more minor weaknesses or gaps. |
| 4 | Good: Proposal meets the required standard, with moderate levels of assurance |
| 5 | Excellent: Proposal fully meets the required standard with high levels of assurance |

**Scoring for Pricing Evaluation**

Bidders should provide a separate price for both Phase 1 (based on the specification detailed in this ITT from Section 2, pg 11-47) and Phase 2, (based on the outline specification in Sub-section 18 pg 50-53). The total price of both phases will be used to evaluate the score for the Cost criterion.

Bidders should include itemised costs for the delivery of the different groups of measures outlined in the requirements as shown in the volume based pricing in Annex A. It is recognised that there is a level of uncertainty associated with the actual number of measures that will be delivered within the project as this will be in part determined by consumer preference. Therefore, the unit pricing provided will be used as the costs in which the contractor will be paid for the works carried out during the project. These costs will not exceed the budget allocated.

Price will be marked using proportionate pricing. Please see the example below.

 **Marking proportionate to the lowest price**

Price will be scored as set out below.

There will be a maximum of e.g., 20 marks

The lowest priced bid will receive the full 20 marks, all other bids will then be marked as set out below.

Proportionate Pricing scoring example

If 20% = 20 marks

|  |  |  |
| --- | --- | --- |
| Supplier | Price | Marks |
| 1 (lowest bid) | £50,000 | 20 |
| 2 | £60,000 | 50/60 \* 20 = 16.7 |
| 3 | £75,000 | 50/75 \* 20 = 13.3 |

**Structure of Tenders**

Contractors are strongly advised to structure their tender submissions to cover each of the criteria above. Complete the price schedule attached at Annex A, specifying the daily rates (ex-VAT) you will charge for each level of your staff.

**Bid Clarification**

After reviewing and evaluating the written proposals, DESNZ may decide to hold bid clarifications with suppliers.

**Feedback**

Feedback will be given in the unsuccessful letters or emails.

# Phase 2 - Outline Specification

In order for this project to continue into a second phase it is necessary for bidders to also include an estimate price for this phase of the project. The specification below is provided to give bidders a high level indication of the requirements for this second phase.

Phase 2 is dependent on future funding being agreed by the Department, therefore there is a break clause at the end of the first phase on 31/03/2025.

This outline specification will be further detailed following the approval of Phase 2 which will be communicated to contractors in 2024.

**Objectives**

The objectives of the second phase are, in addition to the overarching objectives of the project:

* To maintain the monitoring structure and data collection established in phase 1 and continue to analyse data to inform research questions.
* Test some innovative technologies, and implementation of technology, to overcome key barriers identified in the homes within the Homes for Net Zero project.
* Monitor the ongoing benefits of measures installed in Phase 1.
* Gather evidence on the current impacts a changing climate is having on homes and test mitigating measures.

**Research Questions**

An indication of the types of research questions that will be the focus of Phase 2 are included below. These are by no means exhaustive and are likely to be amended and added to following the detailed specification.

**Resilient homes for a future climate**

* How many homes overheat and to what extent?
* Do people experience overheating as we currently expect?
* How effective are different solutions for mitigating overheating?
* What are the relative costs and benefits of passive measures (e.g., window shutters) to mitigate overheating?
* What are the relative costs and benefits of active measures (e.g., space cooling) to mitigate overheating?
* What are the trade-offs between indoor air quality and heat loss for homes?

**Solutions for domestic hot water (DHW)**

* What options are there for providing DHW with separate systems to space heating?
* What innovative approaches are there for combing direct electric heating for DHW with heat pumps and what are the costs and benefits?
* What innovative options are there for utilising phase change materials (PCMs) for delivering DHW either separately to space heating or in combination with, and how do they perform in real homes?
* How efficient are these options on their own and in combination with different heating systems?
* What is the consumer experience and are they preferable to conventional options?

**Alternative electric heating**

* Which homes are most suitable for air-air heat pumps and what are the in-use, efficiencies, costs and benefits?
* What are the consumer experiences of using air-air heat pumps?
* How favourable are alternative electric heating options compared to air-source heat pumps?
* In what circumstances are alternative electric heating options more suitable?
* How efficient are these systems in real use?
* How costly are they to run when taking advantage of flexible electricity tariffs?

**Technology Scenario**

In order for bidders to provide a price for Phase 2, an indicative scenario has been included below, with potential technologies and numbers of homes in which these technologies would be installed in. Bidders should assume that 100% of the costs of providing these technologies, their installation, commissioning, after-care and potential removal and reinstatement of existing system at the end of the project are included in their costs. In the case of removal and reinstatement, bidders should assume that 10% of trial homes that have had a space or water heating installation, request that their existing system is reinstated at the end of the project.

Bidders should also assume that all of these homes will be recruited from the existing 1000 homes in the project and that the level of monitoring is equivalent to the detailed monitoring outlined in WP4 for Phase 1.

The technologies outlined below are not necessarily mutually exclusive. For example, installations of air-air heat pumps can be combined with innovative DHW technologies.

|  |  |  |
| --- | --- | --- |
| **Technology** | **Home type** | **Approx. No. of homes** |
| Air-air heat pump | Flat | 70 |
| House | 30 |
| Innovative DHW technologies | Flat | 40 |
| House | 10 |
| Alternative direct electric heating | Flat | 80 |
| Passive cooling measures | Flat | 70 |
| House | 30 |

**Data collection and analysis**

Bidders should assume that a similar level of data collection and analysis as outlined in Phase 1 would be required for those homes with these technologies installed.

The intention is to monitor the homes with these technologies installed for a minimum of 12 months at which point the data will be analysed and synthesised in order to answer the proposed research questions. A similar set of interim and final outputs will be required as in Phase 1.

**Budget**

The indicative budget at this stage for Phase 2 is between £2 – 2.5million.

**Timeline**

An indicative timeline for Phase 2 is outlined below.

|  |  |  |
| --- | --- | --- |
| **Activity** | **Start**  | **End** |
| Ongoing monitoring of all homes and detailed monitoring of Phase 1 homes with measures installed | Apr 2025 | Mar 2027 |
| Phase 1 review and delivery planning for Phase 2. | Jan 2025 | March 2025 |
| Delivery of Phase 2 measures | Apr 2025 | Mar 2026 |
| Monitoring of Phase 2 measures | Apr 2025 | Mar 2027 |
| Phase 2 interim outputs | Apr 2026 | Apr 2026 |
| Phase 2 final outputs | Mar 2027 | Mar 2027 |

**Section 3**

**Further Information on Tender Procedure**

Invitation to Tender for Homes for Net Zero

Tender Reference Number: prj\_1518

Deadline for Tender Responses: 14th July 2023 2:00pm

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# Definitions

Please note that references to the "Department" throughout these documents mean The Secretary for Energy Security and Net Zero acting through his/her representatives in the Department for Energy Security and Net Zero.

The Freedom of Information Act 2000 (“FOIA”) and the Environmental Information Regulations 2004 (“EIR”) apply to the Department. You should be aware of the Department’s obligations and responsibilities under FOIA or EIR to disclose, on written request, recorded information held by the Department. Information provided in connection with this procurement exercise, or with any contract that may be awarded as a result of this exercise, may therefore have to be disclosed by the Department in response to such a request, unless the Department decides that one of the statutory exemptions under the FOIA or the exceptions in the EIR applies. If you wish to designate information supplied as part of this response as confidential, of if you believe that its disclosure would be prejudicial to any person’s commercial interests, you must provide clear and specific detail as to the precise information involved and explain (in broad terms) what harm may result from disclosure if a request is received, and the time period applicable to that sensitivity. Such designation alone may not prevent disclosure if in the Department’s reasonable opinion publication is required by applicable legislation or Government policy or where disclosure is required by the Information Commissioner or the First-tier Tribunal (Information Rights).

Additionally, the Government’s transparency agenda requires that tender documents (including ITTs such as this) are published on a designated, publicly searchable web site. The same applies to other tender documents issued by the Department (including the original advertisement and the pre-qualification questionnaire (if used)), and any contract entered into by the Department with its preferred supplier once the procurement is complete. By submitting a tender, you agree that your participation in this procurement may be made public. The answers you give in this response will not be published on the transparency web site (but may fall to be disclosed under FOIA or EIR (see above)). Where tender documents issued by the Department or contracts with its suppliers fall to be disclosed the Department will redact them as it thinks necessary, having regard (inter alia) to the exemptions/exceptions in the FOIA or EIR.

# Data security

The successful tenderer must comply with all relevant Data Protection Legislation, as defined in the terms and conditions applying to this Invitation to Tender.

Section 4 contains a “The General Data Protection Regulation Assurance Questionnaire for Contractors” (Declaration 5) to evidence the extent of readiness. The Authority may ask the Contractor to provide evidence to support the position stated in the questionnaire. The Authority may require the successful Contractor to increase their preparedness where the Authority is not satisfied that the Contractor will be in a position to meet its obligations under the terms and conditions. If the Contractor fails to satisfy the Authority that it will be in a position to meet its obligations under the terms and conditions in the event that the Contractor is successful, the Authority reserves the right to exclude the bidder from this procurement.

# Non-Collusion

No tender will be considered for acceptance if the contractor has indulged or attempted to indulge in any corrupt practice or canvassed the tender with an officer of the Department. Section 4 contains a "Statement of non-collusion" (declaration 1); any breach of the undertakings covered under items 1 - 3 inclusive will invalidate your tender. If a contractor has indulged or attempted to indulge in such practices and the tender is accepted, then grounds shall exist for the termination of the contract and the claiming damages from the successful contractors. You must not:

* Tell anyone else what your tender price is or will be, before the time limit for delivery of tenders.
* Try to obtain any information about anyone else's tender or proposed tender before the time limit for delivery of tenders.
* Make any arrangements with another organisation about whether or not they should tender, or about their or your tender price.

Offering an inducement of any kind in relation to obtaining this or any other contract with the Department will disqualify your tender from being considered and may constitute a criminal offence.

**Section 4**

**Declarations to be submitted by the Tenderer**

Invitation to Tender for Homes for Net Zero

Tender Reference Number: prj\_1518

Deadline for Tender Responses: 14th July 2023 2:00pm

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# Declaration 1: Statement of non-collusion

To: The Department for Energy Security and Net Zero

1. We recognise that the essence of competitive tendering is that the Department will receive a bona fide competitive tender from all persons tendering. We therefore certify that this is a bona fide tender and that we have not fixed or adjusted the amount of the tender, 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 tender any of the following acts:

1. communicate to any person other than the Department the amount or approximate amount of our proposed tender, except where the disclosure, in confidence, of the approximate amount is necessary to obtain any insurance premium quotation required for the preparation of the tender;
2. enter into any agreement or arrangement with any other person that he shall refrain for submitting a tender or as to the amount included in the tender;
3. 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 proposed tender 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: Form of Tender

To: The Department for Energy Security and Net Zero

1. Having considered the invitation to tender and all accompanying documents

(Including without limitation, the terms and conditions of contract and the Specification) we confirm that we are fully satisfied as to our experience and ability to deliver the goods/services in all respects in accordance with the requirements of this invitation to tender.

2. We hereby tender and undertake to provide and complete all the services required to be performed in accordance with the terms and conditions of contract and the Specification for the amount set out in the Pricing Schedule.

3. We agree that any insertion by us of any conditions qualifying this tender or any unauthorised alteration to any of the terms and conditions of contract made by us may result in the rejection of this tender.

4. We agree that this tender shall remain open to be accepted by the Department for 8 weeks from the date below.

5. We understand that if we are a subsidiary (within the meaning of section 1159 of (and schedule 6 to) the Companies Act 2006) if requested by the Department we may be required to secure a Deed of Guarantee in favour of the Department from our holding company or ultimate holding company, as determined by the Department in their discretion.

6. We understand that the Department is not bound to accept the lowest or any tender it may receive.

7. We certify that this is a bona fide tender.

…………………………………………………………………………........

Signature (duly authorised on behalf of the tenderer)

…………………………………………………………………………………

Print name

………………………………………………………………………….

On behalf of (organisation name)

………………………………………………………………………….

Date

# Declaration 3: 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 ITT 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 4: Standard Selection Questionnaire

***Financial Credit Checks:***

*DSIT/DESNZ use Dun & Bradstreet and the government’s Spotlight due diligence tool to assist them with their financial due diligence and will request Dun and Bradstreet/Spotlight to provide comprehensive reports on the preferred bidder/s where the opportunity being tendered for exceeds £1M (excluding VAT).*

*DSIT/DESNZ will review the Dun and Bradstreet/Spotlight report prior to notifying bidders of the result of the competition and may need to check [with bidders] that the information within the report is correct.  DSIT/DESNZ may also request the latest accounts and financial information from the preferred bidder/s.*

*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 you do not meet any of the grounds for exclusion1. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

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 exclusions grounds. Consequently, we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example, these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

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 document 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 you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay we reserve the right to amend the contract award decision and award to the next compliant bidder.

**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 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.

**Homes for Net Zero**

**Prj\_1518**

**OPEN**

**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 sub-contractors, 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. 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.
6. 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; secondly, 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 or 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.
1. All sub-contractors are required to complete Part 1 and Part 22.
2. For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.
3. 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.
4. 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](http://www.legislation.gov.uk/uksi/2015/102/schedule/1/made) of the Public Contracts Regulations 2015. To use the Public Procurement Review Service, [read the terms](https://www.gov.uk/government/publications/mystery-shopper-scope-and-remit) 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.

For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

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| **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 ☐ No  ☐ N/A ☐  |
| 1.1(g) - (ii)  | 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:  - the website address; - issuing body; - reference number.  |   |
| 1.1(h) - (i)  | For procurement of **services only**, is it a legal requirement, in the country where you are established, for you to: a) possess a particular authorisation; or b) be a member of a particular organisation, to provide the requirements specified in this procurement?  |     Yes ☐ No   ☐  |
| 1.1(h) - (ii)  | 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:  - the website address; - issuing body; - reference number.  |   |
| 1.1(i)  | State whether you fall within one of these classifications and if so, which one:  1. Voluntary Community Social Enterprise (VCSE)
2. Sheltered Workshop
3. Public Service Mutual
 |   |
| 1.1(j)  | Are you a Small, Medium or Micro Enterprise (SME)3?  |  Yes ☐ No   ☐  |
| 1.1(k)  | Details of Persons with Significant Control (PSC), where appropriate:  4   - 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:   - Over 25% up to (and including) 50%;  - More than 50% and less than 75%; - 75% or more. 5 (Please enter N/A if not applicable)  |   |
| 1.1(l)  | Details of your immediate parent company:  - Full name of the immediate parent company; - Registered or head office address; - Registration number; - VAT number. (Please enter N/A if not applicable)  |   |
| 1.1(m)  | Details of ultimate parent company:  - Full name of the ultimate parent company; - Registered or head office address; - Registration number; - VAT number. (Please enter N/A if not applicable)  |   |
| 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).  |

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

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| **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          ☐ Group / Consortium   ☐  |
| 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 ☐ No   ☐  Criteria:  |
| 1.3  | Are you (or the group or consortium) proposing to use sub-contractors or a supply chain?  | Yes ☐ No   ☐   |
| 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)  | - Full name; - Registration number; - Registered or head office address; - 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). - 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?  |  N/A |

**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.

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| **Section 2**  | **Grounds for Mandatory Exclusion**  |
| **Question number**  | **Question**  | **Declaration**  |
| 2.1(a)  | Within the past five years, anywhere in the world, have you or any person who:  * is a member of the supplier’s administrative, management or supervisory body; or
* has powers of representation, decision or control in the supplier6;

been convicted of any of the offences within the summary below and listed in full at the end of Part 2?  |
|   | Participation in a criminal organisation   | Yes   ☐ No     ☐  |
|   | Corruption  | Yes   ☐ No    ☐  |
|   | Terrorist offences or offences linked to terrorist activities  | Yes   ☐ No    ☐  |
|   | Money laundering or terrorist financing  | Yes   ☐ No    ☐  |
|   | Child labour and other forms of trafficking in human beings  | Yes   ☐ No    ☐  |
|   | Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales or Northern Ireland  | Yes   ☐ No    ☐  |
|   | Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland  | Yes   ☐ No    ☐  |
| 2.1(b)  | If you have answered yes to any part of question 2.1(a), please provide further details: * 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;

If the relevant documentation is available electronically please provide: * the web address;
* issuing authority;
* precise reference of the documents;
 |   |
| 2.1(c)  | 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)  |   |

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| **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)   | 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.  If documentation is available electronically please provide: * the web address;
* issuing authority;
* precise reference of the documents;
 |  Yes **▢** No **▢**   |
| 3.1(b)  | If you have answered NO to 3.1(a) please provide further details including the following: * 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  | 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.  |  Yes **▢** No **▢**   |
| 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.   |

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| **Section 4**  | **Grounds for Discretionary Exclusion**  |
| 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.  |
| **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   ☐ No    ☐  |
| 4.1 (b)  | Breach of social law obligations?  | Yes   ☐ No    ☐  |
| 4.1 (c)  | Breach of labour law obligations?   | Yes   ☐ No    ☐  |
| 4.1(d)  | Bankruptcy or subject of insolvency?  | Yes   ☐ No    ☐  |
| 4.1(e)  | Guilty of grave professional misconduct?  | Yes   ☐ No    ☐  |
| 4.1(f)  | Distortion of competition?  | Yes   ☐ No    ☐  |
| 4.1(g)  | Conflict of interest?  | Yes   ☐ No    ☐  |
| 4.1(h)  | Been involved in the preparation of the procurement procedure?  | Yes  ☐ No    ☐  |
| 4.1(i)  | Prior performance issues?  | Yes   ☐ No    ☐  |
| 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   ☐ No    ☐     |
| 4.1(j) – (ii)  | You have withheld such information  | Yes   ☐ No    ☐  |
| 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   ☐ No    ☐  |
| 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   ☐ No    ☐   |
| 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   ☐ No    ☐  |
| 4.2(a) – (ii)  | Confirm whether the statement complies with the requirements of Section 54:  | Yes   ☐ No    ☐   |
| 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**

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| **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: * 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    5.3(a)      5.3(b)  | If you are not able to provide a response to questions 5.1 or 5.2, please provide any of the following alternatives:  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.   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   ☐ No    ☐   |
| 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   ☐ No    ☐   |

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| **Section 6**  | **Technical and Professional Ability**  |
| **Question number**  | **Question**  |
| 6.1  | **Relevant experience and contract examples**  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 provided should be able to provide written evidence to confirm the accuracy of the information provided below.  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).  Where the supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of this procurement, the information requested should be provided in respect of the main intended provider(s) or subcontractor(s) who will deliver the contract.  **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**  |   |   |   |

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| 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    | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).  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 or whether you are a signatory of the UK Prompt Payment Code (or have given commitments under equivalent schemes in other countries).  |

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| **Section 7**  | **Additional Questions including Project Specific Questions**   |
| **7.1**  | **Insurance Levels**  |
|     7.1(a)   7.1(b)   7.1(c)    7.1(d)   | 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:   Employer’s (Compulsory) Liability Insurance1  = £5million  Public Liability Insurance = £5million  Professional Indemnity Insurance = £2million   Product Liability Insurance = £2million *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:* * *http://www.hse.gov.uk/pubns/hse39.pdf*
 |    Yes ☐ No   ☐  Yes ☐ No   ☐  Yes ☐ No   ☐  Yes ☐ No   ☐   |
| **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 ☐ No   ☐  |
| 7.2(b)  | 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: * 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)  | 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.  | Yes   **▢** No    **▢**   PASS/FAIL  |
| **7.4**  | **Suppliers’ Past Performance**  |
| 7.4(a)  | Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years?   | Yes **▢** No **▢**   |
| 7.4(b)  | On request can you provide a certificate from those customers on the list?    | Yes **▢** No **▢**   |
| 7.4(c)  | If you cannot obtain a certificate from a customer, can you explain the reasons why?   | Yes **▢** No **▢**   |
| 7.4(d)  | 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?    | Yes **▢** No **▢**   |
| 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 **▢** No **▢**   |
| 7.5  | **Tackling Modern Slavery in Supply Chains**  |
| 7.5(a)  | 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: * the web address,
* precise reference of the documents

*(For more details see Procurement Policy Note PPN 02/23)*  |   |
| 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 of any published statements on modern slavery or other relevant documents containing information of a similar type/level.   |   |
| 7.5(d)  | Any modern slavery statement or other statement or document should contain at least the following information:   a. the organisation’s structure, its business and its supply chains; b. its policies in relation to slavery and human trafficking; c. its due diligence processes in relation to slavery and human trafficking in its business and supply chains; 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; e. its effectiveness in ensuring that slavery and human trafficking is not taking place in its business or supply chains, measured against such 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.

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  |   |

# Declaration 5: The General Data Protection Regulation (GDPR) Assurance Questionnaire for Contractors

Please complete the GDPR questionnaire and declaration attached in Annex C [Attached in Jaggaer].

# Declaration 6: Code of Practice[[8]](#footnote-9)

I confirm that I am aware of the requirements of the Department’s Code of Practice[[9]](#footnote-10) 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 headings[[10]](#footnote-11):

* 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.)

**Annex A: Pricing Schedule**

**Phase 1**

**Part A – Fixed price elements**

**Staff day rates**

**• All prices should be exclusive of VAT**

**• Please add lines as needed**

| **Staff member/role** | **Organisation** | **\*Grade/level of staff** | **Day rate (£/day) exc. VAT** | **No. days offered over course of contract** | **Total price offered per staff member** |
| --- | --- | --- | --- | --- | --- |
| **Project Management** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| **Literature Review** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Participant Recruitment** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Data monitoring** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Roadmapping** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Data collection and processing** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Data analysis** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Reporting** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Handover/Exit (if required)** |  |  | £ |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  | **Sub-total**  | **£** |

[\*Suppliers should also include sub-contractors]

|  |  |
| --- | --- |
| **Other fixed costs** | **Price exc.VAT** |
| E.g., Participant recruitment |  |
| Basic monitoring equipment |  |
|  |  |

**Part B – Volume- based price elements**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Group Number**  | **Measures included** | **Additional monitoring** | **Approx. No. of homes** | **Price per item** **(ex VAT)** | **Total price per group offered** |
| 1 | Heating system “MOT” | Electricity sub-meteringHeat meterHeating controls | 40 |  |  |
| 1a | Heating system “MOT” + | Electricity sub-meteringHeat meterHeating controls | 20 |  |  |
| 2 | Professional draught proofingLoft insulation refresh | Electricity sub-metering | 40 |  |  |
| 2a | Loft refresh | Electricity sub-metering | 40 |  |  |
| 2b | Professional draught proofing | Electricity sub-metering | 40 |  |  |
| 3 | Behavioural measures |  | 100 |  |  |
| 4 | Heating system “MOT”Professional draught proofingLoft insulation refresh(Double glazingEfficient doors[[11]](#footnote-12)) | Electricity sub-meteringHeat meterHeating controls | 20 |  |  |

**Other volume-based costs**

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **No. of items** | **Price per item** **(ex VAT)** | **Total price per offered** |
|  |  | £ | £ |
|  |  | £ | £ |
|  |  | £ | £ |
|  |  | £ | £ |
|  |  | £ | £ |
| **Sub-total**  | **£** |

**Part C – Phase 1 Full price offered**

|  |  |
| --- | --- |
| **Sub-total (Part A - Fixed Costs)** | **£** |
| **Sub-total (Part B – Volume-based Costs)** | **£** |
| **PHASE 1 TOTAL PRICE (EX-VAT)** |  |
| **VAT** | **£** |
| **TOTAL (Sub-total (Part A + Part B) + VAT)** | **£** |

**Phase 2**

**Part A – Fixed price elements**

**Staff day rates**

**• All prices should be exclusive of VAT**

**• Please add lines as needed**

| **Staff member/role** | **Organisation** | **\*Grade/level of staff** | **Day rate (£/day) exc. VAT** | **No. days offered over course of contract** | **Total price offered per staff member** |
| --- | --- | --- | --- | --- | --- |
| **Project Management** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| **Data monitoring** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Data collection and processing** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Data analysis** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
| **Reporting** |  |  |  |  |  |
|  |  |  | £ |  | £ |
|  |  |  |  |  |  |
|  | **Sub-total**  | **£** |

[\*Suppliers should also include sub-contractors]

|  |  |
| --- | --- |
| **Other fixed costs** | **Price exc.VAT** |
| E.g. Participant recruitment |  |
| Basic monitoring equipment |  |
|  |  |

**Part B – Volume- based price elements**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Measures included** |  | **Approx. No. of homes** | **Price per item** **(ex VAT)** | **Total price per group offered** |
| Air-air heat pump | Flat | 70 |  |  |
| House | 30 |  |  |
| Innovative DHW technologies | Flat | 40 |  |  |
| House | 10 |  |  |
| Alternative direct electric heating | Flat | 80 |  |  |
| Passive cooling measures | Flat | 70 |  |  |
| House | 30 |  |  |

**Other volume-based costs**

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **No. of items** | **Price per item** **(ex VAT)** | **Total price per offered** |
|  |  | £ | £ |
|  |  | £ | £ |
|  |  | £ | £ |
|  |  | £ | £ |
| **Sub-total**  | **£** |

**Part C – Phase 2 Full price offered**

|  |  |
| --- | --- |
| **Sub-total (Part A - Fixed Costs)** | **£** |
| **Sub-total (Part B – Volume-based Costs)** | **£** |
| **PHASE 2 TOTAL PRICE (EX-VAT)** |  |
| **VAT** | **£** |
| **TOTAL (Sub-total (Part A + Part B) + VAT)** | **£** |

 **Part D – GRAND TOTAL: Phase 1 + Phase 2 Full price offered** (this is the figure that will be used to score bid price.)

|  |  |
| --- | --- |
| **PHASE 1 TOTAL PRICE (EX-VAT)** | **£** |
| **PHASE 2 TOTAL PRICE (EX-VAT)** | **£** |
| **GRAND TOTAL: Total combined price for Ph 1 & Ph 2 (EX-VAT)** | **£** |

**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 committees[[12]](#footnote-13) 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 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 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 performed, enabling it to be repeated if necessary.

The project leader is accountable for the validity of the wok and responsible for ensuring that regular reviews of the records of each researcher are conducted[[13]](#footnote-14)

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

1. https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\_data/file/1064962/annex-1-1990-2020-uk-ghg-emissions-final-figures-by-end-user-sector-fuel-uncertainties-estimates.pdf [↑](#footnote-ref-2)
2. https://www.hy4heat.info/ [↑](#footnote-ref-3)
3. https://www.sgn.co.uk/H100Fife [↑](#footnote-ref-4)
4. This is assumed to be a 1-2 day job analysing air infiltration with sensors and monitoring equipment and taking measures to seal gaps which are not controlled ventilation. [↑](#footnote-ref-5)
5. This will include loft clearance and replacement of old insulation with current best practice. [↑](#footnote-ref-6)
6. Add-on measures funded by the homeowner [↑](#footnote-ref-7)
7. https://serl.ac.uk/ [↑](#footnote-ref-8)
8. Please note that this declaration applies to individuals, single organisations and consortia. [↑](#footnote-ref-9)
9. The Code of Practice is attached to this ITT as Annex B [↑](#footnote-ref-10)
10. Please delete as appropriate [↑](#footnote-ref-11)
11. Add-on measures funded by the homeowner [↑](#footnote-ref-12)
12. Please note ethical approval does not remove the responsibility of the individual for ethical behaviour. [↑](#footnote-ref-13)
13. Please note that this also applies to projects being undertaken by consortia. [↑](#footnote-ref-14)