**Invitation to Tender for**

Tender Reference Number:

TRN1206/08/2016

Deadline for Tender Responses:

10th October 2016, 5pm.

**Department for Business, Energy & Industrial Strategy**

Date: 26/08/2016

The Department for Business, Energy & Industrial Strategy (“BEIS”) wishes to commission a project titled: **Realising the Potential of Demand-Side Response to 2025 – a focus on Small Energy Users.**

Enclosed are the following sections:

* Section 1 (page 3) Instructions on tendering procedures
* Section 2 (page 7) Specification of requirements
* Section 3 (page 23) Further information on tendering procedure
* Section 4 (page 26) Declarations and information to be provided;

Statement of Non-Collusion

Form of Tender

Conflict of Interest

Questions for tenderers

Code of Practice for Research

* Annex A: Pricing schedule
* Annex B: Code of practice for research

Please register your interest in submitting a tender for this project by emailing Peter Warren peter.warren@beis.gov.uk. 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 10th October 2016 clearly marked as “TENDER”.

I look forward to receiving your response.

Yours sincerely,

Email: peter.warren@beis.gov.uk

**Section 1**

**Instructions and Information on Tendering Procedures**

Invitation to Tender for

Tender Reference Number: TRN1206/08/2016

Deadline for Tender Responses: 14th October 2016

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# Indicative Timetable

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

|  |  |
| --- | --- |
| **Tender Timeline** | **Date (estimated)** |
| Advert and full invitation to tender issued | 15/09/2016 |
| Deadline for questions relating to the tender | 28/09/2016 |
| Response to questions relating to the tender | 04/10/2016 |
| Deadline for receipt of tender | 10/10/2016 |
| Invite suppliers for bid clarification (if needed) | 13/10/2016 |
| All suppliers alerted of outcome | 18/10/2016 |
| Contract award on signature by both parties | 19/10/2016 |
|  |  |
| Contract start date | 19/10/2016 |

The contract is to be for a period of 6 months unless terminated or extended by the Department in accordance with the terms of the contract.

# Procedure for Submitting Tenders

The maximum page limit for tenders is 25 pages (excluding declarations and CVs).

Please send 5 hard copies of your tender to Peter Warren, 3 Whitehall Place, London SW1A 2AW by 10th October, 5pm and **email** your proposal **after** the deadline of 10th October, 5pm to Peter Warren (peter.warren@beis.gov.uk).

For questions regarding the procurement process please contact Peter Warren (peter.warren@beis.gov.uk).

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.

BEIS 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. BEIS 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, email Peter Warren (peter.warren@beis.gov.uk). All questions should be submitted by 30th September 2016, 5pm; 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 4th October 2016 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.

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 standard 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 as 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 BEIS 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 (page 29) 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 Standard Terms and Conditions of Contract will apply to this contract. These can be downloaded from Contracts Finder.

# 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 the earliest convenient time. 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 25 pages)
* Annex A – pricing schedule
* Declaration 1: Statement of non-collusion
* Declaration 2: Form of Tender
* Declaration 3: Conflict of Interest
* Declaration 4: Questions for tenderers
* Declaration 5: Code of Practice

**Section 2**

**Specification of Requirements**

Invitation to Tender for

Tender Reference Number:

Deadline for Tender Responses:

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# Introduction and summary of requirements

BEIS is looking for a contractor or contractors to undertake a Rapid Evidence Assessment (REA) of demand-side response (DSR)[[1]](#footnote-1) approaches to, and responses by, smaller energy users[[2]](#footnote-2) to inform ongoing policy development and implementation in this area. The study will focus on drawing out findings relevant to Great Britain (GB), but draw on a wide range of evidence, including from the UK and international deployments.

BEIS aims to help enable and manage the transition to a smart energy system, including via the smart meter roll out. Active participation by smaller energy users, including through DSR, is expected to play an important part in this. While there is an increasing amount of commercial DSR activity for larger energy users in GB, this is not yet the case in respect of smaller users, and a number of the enablers are not yet in place.

This contrasts with the situation elsewhere, such as in the USA, where a range of commercial deployments have already taken place and been evaluated. However there is a range of GB research, including LCNF trials, consumer research and academic studies, which offer evidence. DSR approaches and their effectiveness will vary according to the market context and other factors (e.g. the prevalence of air conditioning), however there are underlying commonalities, such as the range of available tariff types, consumer barriers and the potential role of automated controls. Therefore the challenge for this project is to assess the relevance, as well as robustness, of the available evidence to the GB context.

This REA will aid strategic policy development and help ensure the participation of consumers by improving our understanding of:

* The motivating factors and barriers that drive small energy user decision making around demand side response;
* The products, services, policies and engagement strategies that could be most effective at achieving DSR at scale amongst these users.

The project will require a range of analytical, social research and energy sector expertise. As a result, we anticipate that bidders will need to bring together a range of different skills to address all research areas.

Due to our current policy development timetable, this REA will be structured to take place between October 2016–March 2017. As the research questions cover a broad area, a two phase approach will be taken. The first phase (October – December) will involve a rapid initial review of data sources across all questions in order to identify priority areas for in-depth analysis and finalise the scope of the work. Phase 1 will also include analysis and findings on Question 6 (policy interventions), including proposals for any examples/case studies to be written up in the final report. The culmination of phase 1 will be a presentation and meeting with BEIS in late December.

At this meeting, a decision will be taken (by BEIS, in discussion with contractors) on priority areas for in-depth analysis. Phase 2 (January – March) will then involve the detailed analysis and report writing, with a final report due by end March 2017.

The output to be delivered in this REA is an up-to-date report synthesising and assessing existing and potentially new[[3]](#footnote-3), evidence against all the research questions. The specific outputs are:

1. Interim presentation including findings on Question 6 (to be sent to BEIS w/c 12th December);
2. Draft report (February 2017);
3. Presentation of final findings and final report (March 2017);
4. Inventory of sources in an excel spreadsheet (March 2017).

# Background

DSR refers to a change in the time at which consumers’ use or store electricity, in response to a signal such as a change in the price of electricity. DSR has recently undergone a major expansion of attention both in the UK and internationally (especially in the US and Australia) as an approach to managing the electricity system, enabled by smart metering.

This expansion has involved diverse policy, regulatory and commercial approaches (e.g. whether or not to mandate DSR tariffs, alternative tariff design, development of smart thermostats providing DSR services, design of approaches to consumer engagement), numerous evaluations and appraisals for regulatory and other purposes, large scale trials (e.g. two large GB projects as part of the £500M Ofgem Low Carbon Networks Fund) and a range of academic research. There is therefore a large and rapidly growing evidence base in this area.

However what is lacking is a comprehensive, policy-focused review of all the available evidence to underpin policy development, drawing both on GB experience and on wider international developments where a significant amount of innovation has been happening. We also need to identify where further research, such as consumer trials, may be needed. This work will build upon the existing evidence base to inform smart energy policy, alongside complementing the forthcoming smart energy Call for Evidence. It will involve an in-depth evidence review. This may be supplemented by other evidence generation (e.g. interviews/case-studies) focused on understanding DSR policies, products and services in other countries.

This REA will meet key evidence needs of smart energy policy and the GB smart metering programme, which aim to help enable and manage the transition to a smart energy system and maximize the benefits of the national roll-out of smart metering. A key element in both is the participation of smaller consumers across sectors in DSR. We are focusing particularly on smaller users, as this is where the greatest uncertainties lie.

This REA will require expert knowledge and access to literature and resources, to review and synthesise the existing research evidence base which includes academic journals and regulatory and evaluation studies. This needs to be complemented by expertise in energy markets, regulation and commercial strategies in order to deliver a comprehensive analysis.

# Aims and Objectives

The aim of this project is to aid strategic policy making and delivery activities by improving our understanding of:

* The services smaller users could provide within a smart energy system, through the provision of DSR;
* How best to engage, motivate and protect consumers through DSR products, services, policies and strategies.

This comprehensive and up-to-date review will be used to:

* make policy decisions (e.g. where to target and prioritise actions to realise DSR potential at scale and maximise benefits);
* inform innovation funding decisions;
* increase stakeholder awareness of the DSR potential from smaller energy users and potential means by which to access this.

Findings will be reported with specific reference to the GB consumer and market context within the time horizon of now until to 2025. The precise research questions to be addressed are:

**Business strategies**[[4]](#footnote-4)

1. What business strategies and models are being used to access DSR from smaller users, where have these been most successful and why? What can be learnt from successful approaches to DSR for larger users?

**DSR products, services**[[5]](#footnote-5)

1. What products and services have been effective at achieving DSR persistently from users and why? How does this vary between user types – are there generalisations that can be drawn (for example in terms of the levels of customer savings which have proved attractive)? How cost-reflective are these products and services?
2. What is the relative effectiveness, including cost-effectiveness, of different products and services at delivering DSR, over different timescales and frequencies, from users? How is this effectiveness related to the types of load being managed? And what assessments have been made of the achievable potential for DSR amongst smaller users?

**Consumer engagement and participation**

1. What are the motivating factors and barriers around consumer uptake of DSR?
	1. What are the characteristics of those who do/don’t engage in DSR?
	2. What actions have been found to help overcome consumer barriers (e.g. concerns about impact on lifestyle and how social factors (friends, family, neighbours) can influence decision making)?
2. What forms of consumer engagement and infrastructure[[6]](#footnote-6) are effective at increasing DSR participation and responsiveness amongst users?
3. What infrastructure and consumer engagement strategies have been effective at promoting *DSR* at scale from users and why?
4. What transferable learnings are there from other energy engagement strategies?

**Policy interventions**

1. What government policies in other countries have been effective, or ineffective, at promoting DSR at scale from users and why?[[7]](#footnote-7) This should include the provision of clear examples/case studies which include the following information as a minimum:
2. Description of the policies aimed at enabling DSR;
3. Description of the DSR products and services available;
4. Description of other factors which are relevant to the effectiveness of the policies described.

# Methodology

The research questions have been primarily framed as the basis for an REA. An REA should provide a balanced assessment of what is already known about an issue and/or answer questions about what is effective, by using rigorous and systematic review techniques to search and critically appraise existing academic research and grey literature. This involves developing a robust and replicable search strategy, inclusion and exclusion criteria, a method for formally assessing the quality of documents, and a process for extracting and synthesising data. It should be a robust, transparent and replicable synthesis of the evidence, with key messages and findings.

Proposals should outline the most effective combination of activities to answer the research questions fully. This may include gathering new evidence via interviews, which might be helpful for particular research questions, such as developing examples/case studies of policy experiences in other countries. However, we expect the large majority of the work will be conducted as an REA based on existing evidence.

The REA will draw on different types of evidence contained within documents, such as surveys, trials, academic research, existing reviews, industry reports, programme evaluations and policy evaluations from around the world. Proposals will need to set out clearly a practical, replicable, transparent and robust research design for bringing together different types of information, collected in different contexts, in order to answer the research questions. Findings will be developed with specific reference to the UK (between now and 2025), hence the research design will need to include transparent and well justified methods of assessing the relevance of international experiences to the UK context, as well as robustness, of findings.

One option is to develop a theoretical framework to assimilate different types of evidence from various sources, but there may be alternative approaches, such as reviewing the international evidence based on specific research questions, and then considering its relevance to the UK context.

A key part of conducting evidence reviews is the assessment of evidence quality and the supplier will need to provide details on how this will be done.

Suppliers should outline and justify the planned methodological approach to answering the research questions in as much detail as possible.

**Detailed Description:**

1. **Existing evidence collection methodology**

Proposals should set out details of their chosen methodology for data collection and why their approach or approaches have been chosen. Proposals may suggest different costed options, however the preferred approach must be made clear, and it is on this approach that the bids will be evaluated at the competition stage.

* 1. **Using Secondary data**

Reviewing the existing evidence generally requires a review team, containing both individuals who have proven experience in systematically searching evidence and ones who have good technical knowledge of the range of topics to be addressed. The review team must have access to the relevant academic databases and grey literature sources or demonstrate how they will obtain access, such as by partnering with organisations that do have access. The supplier should develop and undertake a pilot test of an REA review protocol and agree any necessary refinements with BEIS.

Proposals should outline the proposed review protocol in detail as per the following evidence review stages. The timescales for each stage should also be stated.

1. Stage 1: Review questions and boundaries
2. Stage 2: Search strategy
3. Stage 3: Inclusion and exclusion criteria (listed in two separate tables)
4. Stage 4: Quality assessment
5. Stage 5: Data extraction
6. Stage 6: Data synthesis and analysis
7. Stage 7: Dissemination

The supplier should outline the method that will be employed to determine the applicability of the experiences of other countries to the GB context, including how to evaluate the effectiveness of government policies in other countries.

* 1. **Primary data collection**

If primary data collection is proposed then contractors should explain how they intend to develop effective research tools or methods. An explanation of the design and management of fieldwork should also be provided.

1. **Analysis**

Contractors should set out the full proposed process for analysis for the REA and any primary (or other secondary) data collected, and how each research question will be answered.

In the case of qualitative analysis, it is expected that the approach is sufficiently detailed to give a clear understanding of how data will be analysed (for example, thematic analysis, cross-case analysis, etc.), and how quality will be assured.

In explaining their approaches to analysis, the supplier should illustrate how these will ensure a credible and impartial outcome and set out any limitations or risks of bias.

Suppliers will need to demonstrate that they will meet BEIS standards for quality assurance, which are outlined in section 7.

# Outputs Required

The output of this REA will be a comprehensive and up-to-date report synthesising and assessing the quality of existing, and potentially new, evidence. The specific outputs will be:

1. Interim presentation (slides only) including findings on Question 6 (to be sent to BEIS w/c 12th December);
2. Draft report (February 2017);
3. Presentation of final findings and final report (March 2017);
4. Inventory of sources in an excel spreadsheet (March 2017).

Outputs of this research will feed into work streams within the smart energy programme, the smart metering programme and decisions around innovation funding.

# Ownership and Publication

The outputs of this REA will be owned by BEIS and will be published within three months of sign-off as complete from BEIS.

BEIS is committed to openness and transparency. All outputs listed in section 5 should be accessible, non-disclosive and suitable for publication and further use.The exceptions to this are where:

1. The intellectual property rights to an output (or part of an output) is owned by someone other than the contractor. Contractors should state in their tender if this is the case and indicate whether the third party copy righted materials can be redacted;
2. Data is commercial in confidence;
3. A non-anonymised dataset if required for the project.

If these exceptions apply to any part of the outputs, contractors should indicate this in their proposal alongside any approaches to resolving these. Where applicable, contractors can provide optional costs for obtaining rights to data or outputs. These will be agreed before BEIS lets the contract.

Unless the above exceptions have been stated in a proposal, all outputs from a research project will assumed to be owned by BEIS. The outputs, raw data and tools developed in the research cannot therefore be used by contractors for purposes other than our work.

**Non-disclosure**

All outputs must be provided to BEIS in a format that is non-disclosive (i.e. if interviews are conducted then the contractor must ensure that no individuals or individual organisations are identifiable from the data or analysis, directly or indirectly), unless the specification states otherwise. The contractor is responsible for ensuring that the data is supplied in this form alongside a report on the checks made. The contractor will be asked to agree their approach to checking for disclosure with BEIS during the course of the contract, before the checks are carried out. Where data or analysis is found to be disclosive during checking, the contractor will be required to suggest an approach or approaches to aggregate the analysis and to agree this with BEIS.

**Storage and Transfer**

The contractor will need to ensure that all appropriate regulations are adhered to regarding safe storage and transfer, compliant with BEIS requirements for the data processing of restricted data.

# Quality Assurance

We will require the supplier to assure QA of the outputs. Bidders must set out their approach to quality assurance in their response to this ITT.

Any work undertaken by the contractor must be QA’ed and documented. Contractors should include a quality assurance plan that they will apply to all of the research questions.

* This QA plan should be no longer than 2 sides of A4 paper.

To demonstrate relevant experience in producing high quality reporting, the contactor/s must:

* Ensure that quality assurance is done by individuals who were not directly involved in the research, analysis or model development;
* Specify who will be responsible for quality assurance before it comes to BEIS.

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 BEIS will take this into consideration. BEIS reserves the right to refuse to sign off outputs which do not meet the required standard specified in this invitation to tender.

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: <http://www.civilservice.gov.uk/networks/gsr/gsr-code>
* The Green Book: appraisal and evaluation in central government. <https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-governent>
* [Quality in Qualitative Evaluation: A Framework for assessing research evidence](http://www.civilservice.gov.uk/wp-content/uploads/2011/09/a_quality_framework_tcm6-38740.pdf) provides a Framework for appraising the quality of qualitative evaluations.
* Rapid Evidence Assessment (REA). <http://www.civilservice.gov.uk/networks/gsr/resources-and-guidance/rapid-evidence-assessment/what-is>. This toolkit will help researchers 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.

# Timetable

The deadline for completion of this REA is end of March 2017. The key milestones are:

|  |  |
| --- | --- |
| **Activity** | **Date (estimated)** |
| Advert and full invitation to tender issued | 14/09/2016 |
| Deadline for questions relating to the tender | 28/09/2016 |
| Response to questions relating to the tender | 04/10/2016 |
| Deadline for receipt of tender | 10/10/2016 |
| Invite suppliers for bid clarification (if needed) | 13/10/2016 |
| All suppliers alerted of outcome | 18/10/2016 |
| Contract award on signature by both parties | 19/10/2016 |
|  |  |
| Contract start date | 19/10/2016 |
| Interim presentation | Week Commencing 12th Dec 2016 |
| Draft report | 28/02/2017 |
| Final report | 31/03/2017 |

# Challenges

There may be a number of challenges in conducting this research; some are given in this section. Contractors must consider how these and any other challenges will be addressed through the research design and delivery.

Some of the challenges we have contemplated are:

1. What works in terms of DSR approaches will be dependent on multiple contextual factors including climate and electricity uses, the nature of energy markets and regulation, system requirements and levels of trust. This will limit the scope for reading across directly from other jurisdictions, and require careful analysis and use of an appropriate research design to draw defensible and robust conclusions.
2. Commercial strategies are not generally transparent, and there is likely to be limited published research which directly addresses RQ1 on business strategies. This RQ is likely to require considerable sectoral expertise and potentially some primary evidence generation.
3. There is a general risk of the project that not enough evidence exists on some RQs to support a robust analysis. Conversely, there is a risk that there is too much literature, from multiple sources on other RQs, which is difficult to distil into a coherent set of conclusions. Ensuring high quality methodologies for reviewing such a diverse range of evidence and questions will be essential.

#  Ethics

All applicants 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 risks’ criterion.

We expect contractors to adhere to the following GSR principles:

1. Sound application and conduct of social research methods and appropriate dissemination and utilisation of findings;
2. Participation based on valid consent;
3. Enabling participation;
4. Avoidance of personal harm;
5. Non-disclosure of identity and personal information.

# Working Arrangements

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

There will be a number of key clients for the research within BEIS and a steering group will be set up to inform key decisions.

BEIS will conduct internal peer review throughout the project, and may engage external peer reviewers at key stages. Contractors should cooperate with this peer review process and build in time for their own peer review.

All research tools and sampling methodologies will need to be agreed by BEIS. We will require monthly updates on progress by email or phone.

# Skills and experience

Proposals must demonstrate clearly the skills and expertise to undertake REAs. Your tender response should include a summary of each proposed team members’ skills and expertise.

A range of different skills are required for this research. Contractors should clearly set out the skills and expertise provided by each member of the proposed project team to meet the requirements.

The following skills and expertise are particularly important for this work:

* Knowledge of demand-side response approaches;
* Expertise in Systematic Reviews/Rapid Evidence Assessments;
* (If included) Interview methods;
* Ability to draft high quality reports to communicate the results of research;
* An understanding of and proven experience in the application of good practice in conducting research. This needs to include:
* Applying sound quality assurance processes and procedures to minimise errors and to ensure outputs are robust;
* Producing clear documentation of research, procedures for updating and producing outputs, assumptions, data sources and quality assurance checks.

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 28 of the Public Contracts Regulations 2006.

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 available budget for this project is between £80,000 to £100,000, excluding VAT.

Contractors should provide a full and detailed breakdown of costs (including options where appropriate). This should include staff (and day rate) allocated to specific tasks.

Cost will be a criterion against which bids which will be assessed.

Payments will be linked to delivery of key milestones. The indicative milestones and phasing of payments is as follows:

Phase 1 (October to December), rapid initial review of data sources across all questions, in order to identify priority areas for in-depth analysis and finalise the scope of the work. Phase 1 will also include analysis and findings on Question 6 (policy interventions), including proposals for any examples/case studies to be written up in the final report. The culmination of phase 1 will be a presentation and meeting with BEIS in late December.

Following contractor recommendations and discussion with BEIS, with a decision point (through the project board) on priority areas for in-depth analysis and possible supplementary interviews, and whether the project’s scope should be scaled back or broadened:

Phase 2 (January to March) completion of detailed data analysis and report writing.

The proposed breakdown of costs is provided in the following table:

|  |  |
| --- | --- |
| **Task** | **Year 1** |
| Presentation | £40,000 |
| Draft report | £40,000 |
| Final report  | £20,000 |
| **Total** | **£100,000** |

This can be adjusted and agreed with the contractor based on the tender response/details of Realising the Potential of Demand-Side Response to 2025 – a focus on Small Energy Users. Please advise in your tender response how this breakdown reflects your usual payment processes.

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 standard terms and conditions of contract.

# Evaluation of Tenders

Contractors are invited to submit full tenders of no more than 25 pages, excluding example reports and declarations. Tenders will be evaluated by at least three BEIS staff.

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

* **Conflict of interest:** Pass/fail. See page 5 of the ITT for further information;
* **Understanding requirement**: Demonstrated understanding of research requirement/s (15%);
* **Methodology**: Ability of the design to answer the research questions and deliver high quality, robust, rigorous research, which demonstrates best practice in social research and evidence assessment. This includes the evidence collection methodology, analysis and synthesis of findings (30%);
* **Skills and expertise**: Each team member has the high-level of relevant research and analytical expertise required to deliver their assigned tasks to meet Government Social Research standards, including the skills/expertise outlined in section 11 above (i.e. demonstrating expertise in conducting evidence reviews and expertise in demand-side response) (20%);
* **Addressing Challenges and Risks:** All relevant challenges and risks are identified, including any ethical issues, alongside effective plans for mitigation, management and contingency (10%);
* **Management and Delivery:** Effective quality, relevance and breadth of management oversight processes, including work planning, budget control, effective working arrangements, an appropriate level of input from each skillset, quality assurance and on-going risk management/identification. The provision of a detailed delivery plan with specific reference to this project is required, including: tasks; milestones; individuals allocated to tasks, their seniority and respective numbers of days (15%);
* **Cost:**  Total price will be marked proportionately to the lowest bid. The lowest bid will receive maximum marks for the price elements and then all other bids will be marked proportionately to that bid. Where contractors indicate options, they should clearly indicate their preferred approach, which the cost and other criteria will be scored against (10%).

**Complete the price schedule attached at Annex A, specifying the daily rates (ex-VAT) you will charge for each level of your staff**.

**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 |

**Structure of Tenders**

Contractors are strongly advised to structure their tender submissions in the format outlined below:

Section 1 – Understanding requirements and adding value

Contractors should provide evidence to demonstrate an understanding of the tender requirements, and how they will add value in delivering against the requirements.

Section 2 – Proposed Approach and Rationale

Contractors should clearly set out the proposed approach for the research, including research methods to be employed, demonstrating how this will address the research questions.

Section 3 – Understanding and Addressing Challenges

Contractors should set out how they will address the challenges identified in this specification, as well as any other challenges which are considered relevant.

Section 4 – Delivery Plan

With specific reference to the description of the requirement/s, working arrangements and expected outputs as stated above, Contractors must submit a detailed contract delivery plan containing the following information:

* A full project plan detailing:
	+ The tasks to be undertaken and milestones to be reached
	+ The individuals responsible for undertaking tasks (including seniority of staff and number of days allocated for each task)

Section 5 – Risk and Data Management Processes

Contractors should identify key risks for the project and set out the steps that will be taken to manage and mitigate against them. Contractors should also set out how risks will be identified, assessed, managed and monitored throughout the project.

Section 6 – Relevance of skills, knowledge and experience of the proposed team

Contractors must set out in detail how the relevant skills and knowledge of the project team will be utilised in the performance of the contract.

Section 7 – Pricing

Pricing schedules are included in Document 4.

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**

The Department reserves the right to award the contract based on applicants’ written evaluation only if one candidate emerges from the evaluation stage as significantly stronger than the others.

BEIS may invite suppliers for bid clarification if they feel bid clarification should be carried out.

BEIS reserves the right not to award the contract if no supplier is deemed to meet the minimum requirements.

**Feedback**

Feedback will be given in the unsuccessful letters or emails.

**Section 3**

**Further Information on Tender Procedure**

Invitation to Tender for

Tender Reference Number:

Deadline for Tender Responses:

**Contents:**

A. [Definitions](#_Definitions) 24

B. [Data security](#_Data_security) 24

C. [Non-Collusion](#_Non-Collusion) 25

# Definitions

Please note that references to the "Department" throughout these documents mean The Secretary of State for Energy and Climate Change[[8]](#footnote-8) acting through his/her representatives in the Department for Energy & Industrial Strategy.

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 the Data Protection Act (DPA) 1998 and any information collected, processed and transferred on behalf of *The Department*, and in particular personal information, must be held and transferred securely**. Contractors must provide assurances of compliance with the DPA and set out in their proposals details of the practices and systems they have in place for handling data securely including transmission between the field and head office and then to *BEIS***. Contractors will have responsibility for ensuring that they and any subcontractor who processes or handles information on behalf of *The Department* is conducted securely. The sorts of issues which must be addressed satisfactorily and described in contractors’ submissions include:

* procedures for storing both physical and system data;
* data back-up procedures;
* procedures for the destruction of physical and system data;
* how data is protected;
* data encryption software used;
* use of laptops and electronic removable media;
* details of person/s responsible for data security;
* policies for unauthorised staff access or misuse of confidential/personal data;
* policies for staff awareness and training of DPA;
* physical security of premises.
* How research respondents will be made aware of all potential uses of their data.

# 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 BEIS. 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

Tender Reference Number:

Deadline for Tender Responses:

**Contents**

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# Declaration 1: Statement of non-collusion

To: The Department for Business, Energy & Industrial Strategy

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 Business, Energy & Industrial Strategy

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: Questions for tenderers

In some circumstances the Department is required by law to exclude you from participating further in procurement. If you cannot answer ‘no’ to every question in this section it is very unlikely that your application will be accepted, and you should contact us for advice before completing this form.

Please state ‘Yes’ or ‘No’ to each question.

|  |  |
| --- | --- |
| **Has your organisation or any directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences?** | **Answer** |
| 1. conspiracy within the meaning of [section 1](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%251%25sect%251%25num%251977_45a%25&risb=21_T12077301839&bct=A&service=citation&A=0.2630909849289865) 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;
 |  |
| 1. corruption within the meaning of [section 1](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%251%25sect%251%25num%251889_69a%25&risb=21_T12077301839&bct=A&service=citation&A=0.774070316337072)(2) of the Public Bodies Corrupt Practices Act 1889 or [section 1](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%251%25sect%251%25num%251906_34a%25&risb=21_T12077301839&bct=A&service=citation&A=0.24433813672949012) of the Prevention of Corruption Act 1906; where the offence relates to active corruption;
 |  |
| 1. the offence of bribery, where the offence relates to active corruption;
 |  |
| 1. bribery within the meaning of section 1 or 6 of the Bribery Act 2010;
 |  |
| 1. fraud, where the offence relates to fraud affecting the European Communities’ financial interests as defined by Article 1 of the Convention on the protection of the financial interests of the European Communities, within the meaning of:
 |  |
| 1. the offence of cheating the Revenue;
 |  |
| 1. the offence of conspiracy to defraud;
 |  |
| 1. fraud or theft within the meaning of the [Theft Act 1968](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23num%251968_60a_Title%25&risb=21_T12077301839&bct=A&service=citation&A=0.35766330215827113), the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
 |  |
| 1. fraudulent trading within the meaning of [section 458](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%25458%25sect%25458%25num%251985_6a%25&risb=21_T12077301839&bct=A&service=citation&A=0.5972529271560607) of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
 |  |
| 1. fraudulent evasion within the meaning of section 170 of the [Customs and Excise Management Act 1979](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23num%251979_2a_Title%25&risb=21_T12077301839&bct=A&service=citation&A=0.22540552446837803)  [or section 72 of the Value Added Tax Act 1994](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23num%251994_23a_Title%25&risb=21_T12077301839&bct=A&service=citation&A=0.9838628229561671);
 |  |
| 1. an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
 |  |
| 1. destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of [section 20](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%2520%25sect%2520%25num%251968_60a%25&risb=21_T12077301839&bct=A&service=citation&A=0.5036676212568264) of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;
 |  |
| 1. fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or
 |  |
| 1. making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of the Fraud Act 2006;
 |  |
| 1. money laundering within the meaning of section 340(11) of the Proceeds of Crime Act 2002;
 |  |
| 1. 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; or
 |  |
| 1. 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; or
 |  |
| 1. any other offence within the meaning of Article 45(1) of Directive 2004/18/EC as defined by the national law of any relevant State.
 |  |

# Declaration 5: Code of Practice[[9]](#footnote-9)

I confirm that I am aware of the requirements of the BEIS Code of Practice[[10]](#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[[11]](#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 BEIS 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 BEIS.

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

**Annex A: Pricing Schedule**

**Part A – Staff/project team charges**

|  |  |
| --- | --- |
| Set up Costs – please specify  |  |
|  |
| Expenses  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **\*Grade/level of staff** | **Daily rate** **(ex VAT)** | **No. days offered over course of contract** | **Tasks to be undertaken on this project** | **Total price offered per staff member** |
|  | £ |  |  | £ |
|  | £ |  |  | £ |
|  | £ |  |  | £ |
|  | £ |  |  | £ |
|  | £ |  |  | £ |
| **Sub-total**  |  | **£** |

[\*Suppliers should also include sub-contractors]

**Part B – Non-staff/project team charges**

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

**Part C – Full price offered**

|  |  |
| --- | --- |
| **Sub-total (Part A + Part B)** | **£** |
| **VAT** | **£** |
| **TOTAL (Sub-total + VAT)** | **£** |

**Annex B: Code of Practice for Research**

**CODE OF PRACTICE FOR RESEARCH**

***Issued by the Department for Energy & Industrial Strategy***

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

***PRINCIPLES BEHIND THE CODE OF PRACTICE***

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

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

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

Most contractors will already have in place many of the measures set out in the

Code and its adoption should not require great effort.

***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 BEIS any clauses in the Code that they consider inappropriate or unnecessary in the context of the proposed research project. The Code, and records of the discussions if held, will become part of the Terms and Conditions under which the research is funded.

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

***MONITORING OF COMPLIANCE WITH THE CODE OF PRACTICE***

Monitoring of compliance with the Code is necessary to ensure:

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

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

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

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

***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 BEIS, taking account of the requirements of ethical committees[[12]](#footnote-12) or the terms of project licences, if relevant.

Significant amendments to the plan or milestones must be recorded and approved by BEIS 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 BEIS, and subject to senior approval in BEIS, where appropriate. Errors identified after publication must be notified to BEIS 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 BEIS. The storage and handling of the samples, materials and data must be as specified in the project plan (or proposal), and must be appropriate to their nature. If the storage conditions are critical, they must be monitored and recorded.

***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-13)

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

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. DSR refers to a change in the time at which consumers use or store electricity, in response to a signal such as a change in the price of electricity. [↑](#footnote-ref-1)
2. This ITT is focused on demand-led DSR, whereby consumers change the time at which they use or store electricity, in response to a signal such as a change in the price of electricity. It does not include generation-led DSR. [↑](#footnote-ref-2)
3. We include the option of allocating resource to primary research – see methodology. [↑](#footnote-ref-3)
4. E.g. Aggregation, P2P trading, targeting of specific types and geographic locations of users, partnerships between businesses and between businesses and community groups [↑](#footnote-ref-4)
5. E.g. Dynamic time of use tariffs, static time of use tariffs, load control tariffs, automated tariffs, critical peak pricing, lifestyle tariffs, bundled offerings (e.g. a smart tariff alongside smart appliances) etc. [↑](#footnote-ref-5)
6. E.g. Consumer engagement campaigns, devices for real-time feedback/notifications to consumers, price comparison websites, etc. [↑](#footnote-ref-6)
7. This should include a range of policies, from those providing protections to consumers to those actively promoting/requiring participation in DSR. [↑](#footnote-ref-7)
8. The Invitation to Tender is issued for the Secretary of State for Energy and

Climate Change, as the new office of Secretary of State for Business,

Energy and Industrial Strategy has yet to be constituted as a corporation sole.

It is expected that rights and liabilities of the Secretary of State for Energy and

Climate Change, including this Invitation to Tender, will in due course be transferred to

the Secretary of State for Business, Energy and Industrial Strategy by an Order in Council under section 2 of the Ministers of the Crown Act 1975. [↑](#footnote-ref-8)
9. Please note that this declaration applies to individuals, single organisations and consortia. [↑](#footnote-ref-9)
10. The Code of Practice is attached to this ITT as Annex C [↑](#footnote-ref-10)
11. Please delete as appropriate [↑](#footnote-ref-11)
12. Please note ethical approval does not remove the responsibility of the individual for ethical behaviour. [↑](#footnote-ref-12)
13. Please note that this also applies to projects being undertaken by consortia. [↑](#footnote-ref-13)