

**Invitation to Tender for future costs and deployment of non-domestic demand-side response**

Tender Reference Number: 1403/12/2017

Deadline for Tender Responses: 29 June 2018

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

Date: 18 June 2018

The Department for Business, Energy & Industrial Strategy (“BEIS”) wishes to commission a project to deliver evidence and assumptions on **future costs and deployment of non-domestic demand-side response.**

Enclosed are the following sections:

* Section 1 (page 3) Instructions on tendering procedures
* Section 2 (page 7) Specification of requirements
* Section 3 (page 18) Further information on tendering procedure
* Section 4 (page 21) Declarations and information to be provided;
	+ Statement of Non-Collusion
	+ Form of Tender
	+ Conflict of Interest
	+ Standard Selection Questionnaire
	+ Code of Practice for Research
* Annex A: Pricing schedule
* Annex B: Code of practice for research
* Annex C: QA log
* Annex D: Model input and assumptions log
* Annex E: BEIS Research Paper template

Please register your interest in submitting a tender for this project by emailing Tanja.Wettingfeld@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 29 June 2018 clearly marked as “TENDER”.

I look forward to receiving your response.

Yours sincerely,

Tanja Wettingfeld

E-mail: Tanja.Wettingfeld@beis.gov.uk

**Section 1**

**Instructions and Information on Tendering Procedures**

Invitation to Tender for **future costs and deployment of non-domestic demand-side response**

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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** |
| Advert and full invitation to tender issued | 18 June 2018 |
| Deadline for questions relating to the tender | 20 June 2018  |
| Responses to questions published  | 22 June 2018 |
| Deadline for receipt of tender | 29 June 2018 |
| Invite suppliers for bid clarification (if needed) |  3 July 2018 |
| All suppliers alerted of outcome |  9 July 2018 |
| Contract award on signature by both parties | 11 July 2018 |
| Contract start date | 13 July 2018 |

The contract is to be for a period of 3 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 20 pages (excluding declarations, pricing schedule and CVs).

For questions regarding the procurement process please contact Tanja Wettingfeld at Tanja.Wettingfeld@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 Tanja.Wettingfeld@beis.gov.uk. All questions should be submitted by 20 June 2018; 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 June 2018 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 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 arrangement such that the findings cannot be influenced (or perceived to be influenced) by the organisation which is the owner of a potential conflict of interest. For example, consideration should be given to the different roles which organisations play in the research or analysis, and how these can be structured to ensure 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 26) 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 22 June 2018. 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 20 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: Code of Practice

**Section 2**

**Specification of Requirements**

Invitation to Tender for **future costs and deployment of non-domestic demand-side response**

Tender Reference Number: 1403/12/2017

Deadline for Tender Responses: 29 June 2018

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# Introduction and summary of requirements

The Department for Business, Energy and Industrial Strategy (BEIS) wishes to build the evidence base for non-domestic demand side response (DSR)[[1]](#footnote-1), by consolidating the best available evidence and assumptions on costs, and on technical and feasible potential. Contractors should review available data and literature to deliver a methodological framework setting out key categories of non-domestic DSR, and deployment scenarios (including business-as-usual, technical potential and feasible potential based on an assessment of barriers and enablers). This framework should be used to summarise the available evidence base on potential deployment and costs.

Data should be collated and set out in a way that BEIS can input into the Dynamic Dispatch Model (DDM),[[2]](#footnote-2) to enable BEIS to improve its modelling and estimate the impact of DSR on the electricity system. This data should be delivered in a format which can be updated periodically and could be developed further in future.

As well as setting out available evidence, the project should clearly identify evidence gaps. Contractors are required to scope a plan for taking forward future primary research, which, if considered necessary and value for money, BEIS would tender for in future.

# Background

The electricity system is changing. On the demand side there are potentially significant changes in the heat sector (e.g. due to electrification of heat or a move to hydrogen) and the transport sector (e.g. due to the uptake of electric vehicles). On the supply side, the electricity generation mix is changing, including more renewable and low carbon generation, more generation embedded in the distribution networks, more behind the meter generation (including solar PV and storage). All of these changes will affect peak electricity demand and the total electricity system.

The Smart Energy Team is exploring how flexible demand among large industrial & commercial (I&C) businesses, small and medium enterprises and the domestic sector can be used to realise £17 - £40 billion[[3]](#footnote-3) in system benefits between now and 2050. DSR and storage can play an increasing role in helping to balance the grid, lower consumer bills and reduce electricity system costs. The government is fully committed to supporting the growth of new capacity and diversification in our electricity system.

It is essential that the Department can improve its understanding of the costs, potential and drivers of non-domestic DSR and more accurately model DSR scenarios using the in-house DDM. A good understanding of DSR in GB is essential for BEIS to have up-to-date evidence to undertake robust and complete analysis of the electricity system in future, which in essential for evidence-based policy making.

**The BEIS Dynamic Dispatch Model (DDM)**

The BEIS [Dynamic Dispatch Model](https://www.gov.uk/government/publications/dynamic-dispatch-model-ddm) (DDM) is a comprehensive fully-integrated power market model covering the market in Great Britain over the medium to long-term. The model enables analysis of electricity dispatch from GB power generators and investment decisions in generating capacity from 2010 through to 2050. It considers electricity demand and supply on a half-hourly basis for sample days.

In 2017, BEIS completed testing a new DSR functionality which shifts demand of selected technologies from times of peak to times of low demand, subject to assumptions on shifting ability. This functionality has recently been used to assess the impact of shifting electric vehicle and heat away from peak for the Clean Growth Strategy. However we do not yet have sufficient data and assumptions on non-domestic[[4]](#footnote-4) DSR which would allow us to use the functionality to assess the impact of shifting non-domestic demand and processes.

# Objectives and Outputs

The main aim of this research project is to build the evidence base for non-domestic DSR, by consolidating the best available evidence and assumptions on costs, technical and feasible potential. This will support delivery of the [Smart Systems Plan](https://www.gov.uk/government/publications/upgrading-our-energy-system-smart-systems-and-flexibility-plan) by enabling:

* Understanding of where there is greatest non-domestic DSR potential, supporting policy development; and
* Robust BEIS modelling electricity system impacts, which will allow modelling of areas identified in the plan.

Contractors should review available data and literature to deliver the following outputs:

1. A report that includes
	1. A review of existing sources (including literature, surveys & data)
	2. An initial framework for defining and categorising DSR, used to develop scenarios (including business-as-usual, technical potential, feasible potential based on an assessment of barriers and enablers) including considerations for the appropriate treatment of uncertainty. This framework should be used to summarise and organise the available evidence base, particularly data on potential uptake and costs.
	3. Identification of evidence gaps and scoping of a plan for taking forward future primary research to close these gaps. Note if considered necessary and value for money, BEIS would tender for a future project to take forward this primary research.
2. Data sets to input in the Dynamic Dispatch Model (DDM), which can be updated periodically and could be developed further in future (see Section 4 for detail on key parameter requirements). These data sets should use and collate the sources identified in 1.i) and follow the framework developed in 1.ii).

# Methodology

**This project will require a vast amount of information to be analysed; technical expertise will be required to collate evidence and assumptions, collate data for the DDM and scope future work to fill evidence gaps.**

**In the bid, the contractor should set out their research methods, proposed data, and evidence sources. This should include**:****

* **the method for the literature review including details on search criteria, how many documents would be reviewed, which journals would be looked at, how a decision would be made on which papers were worth reading in full, and what data and information would be hoped to be gleaned.**
* **the approach to quality assurance and details of who will sign off outputs (and their role within the contractor’s organisation), as detailed in Section 6.**[[5]](#footnote-5)
* **the approach to identify the evidence gaps and methodology for a future piece of primary research**. **BEIS expects this would likely be a survey of current and prospective DSR providers and aggregators; however, bidders are welcome to propose alternative methods.**

**Tenderers are invited to set out their proposed analytical framework for this project, including initial identification of appropriate DSR business types and technology types, key cost categories, and proposed scenarios and variables for sensitivity testing. The contractor should outline their approach for constructing final scenarios and categories.** BEIS anticipates that this will involve a mapping exercise to choose a sensible range of variables; however, bidders are welcome to propose alternative methods.

**Tenderers should submit their envisaged project plan and timelines. Overall it is envisaged that this project is comprised of the kick-off meeting and three subsequent stages, and we suggest that bids are set out in three these stages. These are outline below:**

**Kick off meeting**

The contractor is expected to provide BEIS with and present their agreed plan for the project which contains clear milestones and weekly update call or emails with BEIS officials. This will incorporate the quality assurance plan and details of who will sign off outputs (and their role within the contractor’s organisation), which should be provided as part of the tender response.

**Stage 1 – Review of existing data and literature and agreement of framework.**

**The contractor will be expected to set out a framework for collation of non-domestic data and assumptions, including:**

1. **Appropriate categories of DSR e.g. 5 – 15 business types, and 5 – 15 technology types.**[[6]](#footnote-6) **These should cover a broad range of characteristic types of DSR, for example different durations, response times (notice periods), that can bid into different markets and are available at different times of day/year.**
2. **Appropriate treatment of uncertainty including which variables will be adjusted to create scenarios and sensitivity testing** out to at least 2035 and 2050 where possible**. Costs should be reflected in scenarios and the contractor will be expected to develop a methodology to construct and define costs e.g. financing, capex (controls and meters and back-up generation where applicable); aggregator administration and testing; and opportunity cost (e.g. staff time or lost production in shifting load). Scenarios should cover:**
	1. **business as usual;**
	2. **technical potential;**
	3. **1 – 3 additional scenarios to reflect feasible potential due to technology/business-specific barriers and enablers.**

**The review of existing data and evidence should include:**

* **Surveys: working with organisations that are gathering data on DSR to identify evidence and evidence gaps. Data is either published or can be shared by BEIS in the appropriate format.**
* **Published literature and data.**

**Stage 2 – Delivery of data for DDM.**

The Contractor will be expected to collate available data to provide assumptions organised as input data sets for the BEIS DDM. This should allow BEIS to model the impact on the electricity system of key categories of non-domestic DSR; there may be scope to develop this data further with primary research in a future project (to be scoped in Stage 3).

The DDM has DSR functionality which moves DSR demand from periods with highest to lowest levels of net demand, or to reduce demand due to back-up generation. The following assumptions are required for each business/technology type and should be delivered in a format that is consistent with other inputs in the DDM (Excel spreadsheet, 2012 price base, undiscounted, from 2012 to 2050 unless stated otherwise). (Note it will be useful to have the flexibility to change the price base year).

1. Annual demand (TWh) projections (2017 – 2050);
2. Daily load profiles (for 48 half hours), for the un-shifted i.e. counterfactual for different day samples (at a minimum for business and non-business days);
3. Annual capacity (GW) – this can be calculated from (i) given (ii) or vice versa;
4. Availability of shiftable load (% of total for 48 half hours);
5. Fixed costs (£/MW/year) and variable costs (£/MWh) (2017 – 2050). Note that we will also need detail on how in-year costs are constructed e.g. financing; **capex (controls and meters); aggregator administration and testing; and opportunity cost (e.g. staff time or lost production in shifting load);**
6. Number of hours load can shift forward/back.

The contractor will need to sense check and validate the overall shape of demand pre- and post-shifting. This data must be easily updated/replicated and so it will be important to clearly reference sources and set out how data could be collated periodically.

The contractor must also complete an assumptions log within BEIS’s standard template (annexed) or an agreed equivalent, which describes what assumptions have been used. This should include all assumptions, including those which are implicit. The contractor is expected to note that an assumption can take a number of forms (the following list is not exhaustive): quantitative input data may be assumed; quantitative assumptions may be made during manipulation of the data; qualitative assumptions may have informed the calculation methodology. The contractor is also expected to provide all relevant underlying datasets in BEIS model template format and a completed QA log (annexed). More detail in Section 6.

**Stage 3 – Write up of evidence, evidence gaps and scoping of future work.**

The report will be required to present the agreed framework, as well as evidence from the review of data and literature, clearly outlining evidence gaps. The report should summarise:

* An outline of methodological framework (DSR categories and scenarios).
* Evidence on cost, technical and feasible potential, including reliability of evidence and produce ranges of uncertainty which we can understand and operationalise; barriers/enablers which characterise these scenarios.
* Evidence gaps and scoping for how a future project could fill evidence gaps – i.e. further primary research (approx. £50k) to survey DSR providers, e.g. aggregators, aggregator clients, direct participants (current and prospective, e.g. DNOs and the SO). This should build on learnings from existing surveys, i.e. clear rationale for collecting further evidence, responsiveness of respondents, survey sample and methodology.

# Ownership and Publication

BEIS is committed to openness and transparency. All outputs listed in Section 7 (apart from project plan and project updates) 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) are owned by someone other than the contractor. The contractor 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 is required for the project.

If these exceptions apply to any part of the outputs, the contractor should indicate this in their proposal alongside any approaches to resolving these. Where applicable, the contractor 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 be assumed to be owned by BEIS. The outputs, raw data and tools developed in the research cannot therefore be used for the contractor for purposes other than our work.

BEIS standard terms and conditions require that BEIS retain the Intellectual Property (IP) from all models and software paid for by BEIS:

* Where the contractor is using or building on top of existing IP, such as modules that interface with the model, or proprietary datasets, this must be explicitly stated in the tender response.
* Where open source code or models are to be used within this model, please make clear under which license this open source software is released.
* The Open Government Licence should be used wherever possible:
	+ <http://www.nationalarchives.gov.uk/doc/open-government-licence/version/2/>

**Non-disclosure**

All outputs must be provided to BEIS in a format that is non-disclosive (i.e. 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. A minimum standard for checking includes cell counts within sub-groups for all outputs and analysis. 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

This project must comply with the BEIS Code of Practice for Research (Annex B) or if applicable the Code of Practice for Official Statistics[[7]](#footnote-7) and bidders must set out their approach to quality assurance in their response to this ITT.

All evidence and assumptions must be quality assured and documented. The contractor should include a quality assurance plan that they will apply to all of the research tasks and modelling.

* This QA plan should be no longer than 2 sides of A4 paper.
* Ensure that all updated QA log and QA guidance are provided.
* The following link contains an externally accessible version of the Modelling QA guidance, and the QA log
	+ <https://www.gov.uk/government/collections/quality-assurance-tools-and-guidance-in-decc>
	+ The QA log should be filled in at project completion to demonstrate the QA undertaken

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 and analysis.**
* 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.

All bids must include a completed declaration as set out in the Code of Practice at Annex B and any additional information you wish to submit up to must be a maximum of **1 side of** **A4, font size 10**.  (Links to other documents will not be considered as part of your response e.g. links to published documents online, etc.)

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

BEIS reserves the right to request an audit of projects against the BEIS Code of Practice for Research and the commitments made in the tender documents and subsequent contract.   Your response could be automatically rejected if the project will not be performed under quality assurance measures that fully meet the Code’s requirements.

For primary research, the contractor should be willing to facilitate BEIS research staff to attend interviews or listen in to telephone surveys as part of the quality assurance process.

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>
* UK Statistics Authority Code of Practice/ or an equivalent standard.

http://www.statisticsauthority.gov.uk/assessment/code-of-practice/

* The Magenta Book, Government guidance on policy evaluation and analysis.
	+ Magenta book:
	+ <http://www.hm-treasury.gov.uk/data_magentabook_index.htm>
	+ Supplementary Guidance on the Quality in Policy Impact Evaluations
	+ <http://www.hm-treasury.gov.uk/data_magentabook_supguidance.htm>
* [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 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.

# Timetable

The below table contains the required timetable for the delivery of the project.

|  |  |
| --- | --- |
| **Activity** | **Delivery date** |
| Procurement phase  | 18 June – 11 July |
| Contract awarded | 16 July 2018 |
| Kick-off meeting | 16 July 2018 |
| Progress updates by phone or email | Weekly |
| Stage 1 Review of existing data and literature and agreement of framework. | 10 August 2018 |
| Stage 2 Delivery of data for DDM | 14 September 2018 |
| Stage 3 Write up of evidence, evidence gaps and scoping of future work | 12 October 2018 |
| Final Presentation  | 15 October 2018 |

*Procurement phase (16 July 2018 )*

* Publish ITT: 18 June 2018
* Deadline for bids: 29 June 2018
* Contract awarded: 16 July 2018

*Kick-off meeting (16 July 2018)*

* Activity: A plan of work is finalised.
* Key outputs: A detailed project plan

*Stage 1 (10 August 2018)*

* Activity: The contractor will review existing data, literature and survey outputs, and work with BEIS to develop an appropriate framework for DSR categories, scenarios and sensitivity analysis. A draft should be shared in advance of the meeting for BEIS to have the opportunity to comment.
* Key outputs: Agreed methodological framework.

*Progress meeting (w/c 13 August 2018)*

* Activity: The contractor will present their proposed framework and plan for the remainder of the project to the BEIS project steering group.
* Key outputs: Progress update and agreement on direction of work.

*Stage 2 (14 September 2018)*

* Activity: Collate data garnered in Stage 1 to deliver data in a format which can be inputted into the DDM.
* Key outputs: Data/assumptions in Excel spreadsheet; QA log and assumptions log.

*Progress meeting (w/c 17 September 2018)*

* Activity: The contractor will present their dataset to the BEIS project steering group.
* Key outputs: Datasets in the model template format.

*Stage 3 (12 October 2018)*

* Activity: The contractor will draft report, assumptions and QA log and will provide BEIS will all relevant underlying datasets.
* Key outputs: Finalised documentation.

*Sign off meeting (w/c 15 October 2018)*

* Activity: The contractor will present final report.
* Key outputs: Final report.

# Challenges

Given the potential amount of information and technical expertise that is needed to derive the cost and technical assumptions as well as the time frame and budget for this project, BEIS expects the contractor to build on the existing knowledge base on this area and to avoid duplication where possible.

Given high levels of uncertainty on DSR deployment and cost, the contractor should put significant weight on sense checking consistency of DSR assumptions with key available analysis in this area, adjusting assumptions if necessary.

# 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 the contractor to adhere to the following GSR Principals:

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 contract through whom all enquiries can be filtered. A BEIS project manager will be assigned to the project and will be the central point of contact.

# Skills and experience

BEIS would like you to demonstrate that you have the experience and capabilities to undertake the project to include experience in literature reviews, data gathering and survey design. Your tender response should include a summary of each proposed team member’s experience and capabilities.

The contractor 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.

The contractor 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.

The contractor 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 budget for this project is £30,000 to £50,000 excluding VAT.

Contractors should provide a full and detailed breakdown of costs. 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 the main output of the project, namely a methodological framework, data for the DDM, write up of approach and evidence including scoping of future primary research, completed assumptions and QA logs and provision of any relevant underlying datasets.

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.

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 20 pages, excluding declarations, pricing schedules and CVs. 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.

**EVALUATION CRITERIA AND SCORING METHODOLOGY**

The bid will be evaluated under the following evaluation criteria and scoring methodology.

|  |  |  |
| --- | --- | --- |
| Criterion | Description | Weighting |
| **1. Understanding the requirement** | Demonstrate understanding of the requirements to develop a methodological framework for DSR data, data collection and scoping of future work. | **15%** |
| **2. Methodology and coverage of outputs** | Clearly demonstrate a transparent methodology to be used for delivery of the core outputs:* Review of existing data and literature
* Identification of evidence gaps and scoping of how to close these
* Generation of DDM data sets
 | **10%****10%** **5%** |
| **3. Skills and expertise** | Demonstration of relevant skills and experience and supply a strong team of individuals with the capability to fulfil this requirement. | **20%** |
| **4. 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. This includes adherence to BEIS quality assurance standards. | **15%** |
| **5. Cost**  | Price. More detail in scoring method below. | **25%** |

**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**

**Marking proportionate to the lowest price**

Price will be scored as set out below.

There will be a maximum of 25 marks

The lowest priced bid will receive the full 25 marks, all other bids will then be marked as set out below.

Proportionate Pricing scoring example

If 25% = 25 marks

|  |  |  |
| --- | --- | --- |
| Supplier | Price | Marks |
| 1 (lowest bid) | £30,000 | 25 |
| 2 | £40,000 | 30/40 \* 25 = 18.75 |
| 3 | £50,000 | 30/50 \* 25 = 15 |

**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**

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 all suppliers for bid clarification if they feel bid clarification should be carried out.

**Feedback**

Feedback will be given in the unsuccessful letters or emails.

**Section 3**

**Further Information on Tender Procedure**

Invitation to Tender for **future costs and deployment of non-domestic demand-side response**

Tender Reference Number: 1403/12/2017

Deadline for Tender Responses: 29 June 2018

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# Definitions

Please note that references to the "Department" throughout these documents mean The Secretary of State for Business, Energy and Industrial Strategy acting through his/her representatives in the Department for Business, 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 **future costs and deployment of non-domestic demand-side response**

Tender Reference Number: 1403/12/2017

Deadline for Tender Responses: 29 June 2018

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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: Standard Selection Questionnaire

**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 exclusion[[8]](#footnote-8). 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.

*Alternatively you can submit the completed Exclusion Grounds of the* [*EU ESPD*](https://ec.europa.eu/tools/espd) *(Part III) as a downloaded XML file to the buyer contact point 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.

**Future costs and deployment of non-domestic demand-side response**

**Tender Reference Number: 1403/12/2017**

**PROCUREMENT PROCEDURE: 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 organisation that is being relied on to meet the selection must complete and submit the self-declaration.
6. 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.

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.

**Part 1: Potential supplier Information**

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

|  |  |
| --- | --- |
| Section 1 | Potential supplier information |
| Question number | Question | Response |
| 1.1(a) | Full name of the potential supplier submitting the information |  |
| 1.1(b) – (i) | Registered office address (if applicable) |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status 1. public limited company
2. limited company
3. limited liability partnership
4. other partnership
5. sole trader
6. third sector
7. other (please specify your trading status)
 |  |
| 1.1(d) | Date of registration in country of origin |  |
| 1.1(e) | Company registration number (if applicable) |  |
| 1.1(f) | Charity registration number (if applicable) |  |
| 1.1(g) | Head office DUNS number (if applicable) |  |
| 1.1(h) | Registered VAT number  |  |
| 1.1(i) - (i) | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | Yes ☐No ☐N/A ☐ |
| 1.1(i) - (ii) | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement? | Yes ☐No ☐ |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |  |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement |  |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one)1. Voluntary Community Social Enterprise (VCSE)
2. Sheltered Workshop
3. Public service mutual
 |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[9]](#footnote-9)? | Yes ☐No ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[10]](#footnote-10) - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - 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. [[11]](#footnote-11)(Please enter N/A if not applicable) |  |
| 1.1(o) | Details of immediate parent company: - Full name of the immediate parent company- Registered office address (if applicable)- Registration number (if applicable)- Head office DUNS number (if applicable)- Head office VAT number (if applicable)(Please enter N/A if not applicable) |  |
| 1.1(p) | Details of ultimate parent company:- Full name of the ultimate parent company- Registered office address (if applicable)- Registration number (if applicable)- Head office DUNS number (if applicable)- Head office VAT number (if applicable)(Please enter N/A if not applicable) |  |

Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.

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

|  |  |
| --- | --- |
| Section 1 | Bidding model |
| Question number | Question | Response |
| 1.2(a) - (i) | Are you bidding as the lead contact for a group of economic operators? | Yes ☐No ☐ If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.If no, and you are a supporting bidder please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3. |
| 1.2(a) - (ii) | Name of group of economic operators (if applicable) |  |
| 1.2(a) - (iii) | Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure. |  |
| 1.2(b) - (i) | Are you or, if applicable, the group of economic operators proposing to use sub-contractors? | Yes ☐No ☐ |
| 1.2(b) - (ii) | If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name |  |  |  |  |  |
| Registered address |  |  |  |  |  |
| Trading status |  |  |  |  |  |
| Company registration number |  |  |  |  |  |
| Head Office DUNS number (if applicable) |  |  |  |  |  |
| Registered VAT number |  |  |  |  |  |
| Type of organisation |  |  |  |  |  |
| SME (Yes/No) |  |  |  |  |  |
| The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables |  |  |  |  |  |
| The approximate % of contractual obligations assigned to each sub-contractor |  |  |  |  |  |

 |

**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.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

I understand that the information will be used in the selection process to assess my organisation’s suitability to be invited 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.

|  |  |
| --- | --- |
| Section 1 | Contact details and declaration |
| Question number | Question | Response |
| 1.3(a) | Contact name |  |
| 1.3(b) | Name of organisation |  |
| 1.3(c) | Role in organisation |  |
| 1.3(d) | Phone number |  |
| 1.3(e) | E-mail address  |  |
| 1.3(f) | Postal address |  |
| 1.3(g) | Signature (electronic is acceptable) |  |
| 1.3(h) | Date |  |

**Part 2: Exclusion Grounds**

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

|  |  |
| --- | --- |
| Section 2 | Grounds for mandatory exclusion |
| Question number | Question | Response |
| 2.1(a) | **Regulations 57(1) and (2)** The detailed grounds for mandatory exclusion of an organisation are set out on this [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions. Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). |
|  | Participation in a criminal organisation.  | Yes ☐No ☐If Yes please provide details at 2.1(b) |
|  | Corruption.  | Yes ☐No ☐If Yes please provide details at 2.1(b) |
|  | Fraud.  | Yes ☐No ☐If Yes please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | Yes ☐No ☐If Yes please provide details at 2.1(b) |
|  | Money laundering or terrorist financing | Yes ☐No ☐If Yes please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings | Yes ☐No ☐If Yes please provide details at 2.1(b)  |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details.Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,Identity of who has been convictedIf the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. |  |
| 2.2 | If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion ? (Self Cleaning) | Yes ☐No ☐ |
| 2.3(a) | **Regulation 57(3)**Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | Yes ☐No ☐ |
| 2.3(b) | If you have answered yes to question 2.3(a), please provide further details. Please also confirm 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. |  |

Please Note: The 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.

|  |  |
| --- | --- |
| Section 3 | Grounds for discretionary exclusion  |
|  | Question | Response |
| 3.1 | **Regulation 57 (8)**The detailed grounds for discretionary exclusion of an organisation are set out on this [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions. Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. |
| 3.1(a) | Breach of environmental obligations?  | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations?  | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations?  | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(d) | 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? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(i) | 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? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(j)3.1(j) - (i)3.1(j) - (ii)3.1(j) –(iii)3.1(j)-(iv) | Please answer the following statementsThe organisation is 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.The organisation has withheld such information. The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.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 to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes ☐No ☐If Yes please provide details at 3.2Yes ☐No ☐If Yes please provide details at 3.2Yes ☐No ☐If Yes please provide details at 3.2Yes ☐No ☐If Yes please provide details at 3.2 |

|  |  |  |
| --- | --- | --- |
| 3.2 | If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning) |  |

**Part 3: Selection Questions**[[12]](#footnote-12)

|  |  |
| --- | --- |
| **Section 4** | **Economic and Financial Standing**  |
|  | Question | Response |
| **4.1** | Are you able to provide a copy of your audited accounts for the last two years, if requested?If no, can you provide **one** of the following: answer with Y/N in the relevant box. | Yes ☐No ☐ |
| (a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | Yes ☐No ☐ |
| (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | Yes ☐No ☐ |
|  | (c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | Yes ☐No ☐ |
| **4.2** | 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 by answering ‘Yes’ or ‘No’ that you meet the requirements set out. | Yes ☐No ☐ |

|  |  |
| --- | --- |
| **Section 5** | **If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:**  |
| **Name of organisation** |  |
| **Relationship to the Supplier completing these questions** |  |

|  |  |  |
| --- | --- | --- |
| **5.1** | Are you able to provide parent company accounts if requested to at a later stage? | Yes ☐No ☐ |
| **5.2** | If yes, would the parent company be willing to provide a guarantee if necessary? | Yes ☐No ☐ |
| **5.3** | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?  | Yes ☐No ☐ |

|  |  |
| --- | --- |
| **Section 6** | **Technical and Professional Ability**  |
| **6.1** | **Relevant experience and contract examples**Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts 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.Consortia bids should provide relevant examples of where the consortium has 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 Special Purpose Vehicle (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 the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.If you cannot provide examples see question 6.3 |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Contract 1** | **Contract 2** | **Contract 3** |
| **Name of customer organisation** |  |  |  |
| **Point of contact in the organisation** |  |  |  |
| **Position in the organisation** |  |  |  |
| **E-mail address** |  |  |  |
| **Description of contract**  |  |  |  |
| **Contract Start date** |  |  |  |
| **Contract completion date** |  |  |  |
| **Estimated contract value** |  |  |  |

|  |  |
| --- | --- |
| **6.2** | 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 membership of the UK Prompt Payment Code (or equivalent schemes in other countries) |
|  |  |

|  |  |
| --- | --- |
| **6.3**  | If you cannot provide at least one example for questions 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract. |
|  |  |

|  |  |
| --- | --- |
| **Section 7** | **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015[[13]](#footnote-13)** |
| **7.1** | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | Yes ☐N/A ☐ |
| **7.2** | If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | Yes ☐Please provide relevant the url …No ☐Please provide an explanation |

**8. Additional Questions**

Suppliers who self-certify that they meet the requirements to these additional questions will be required to provide evidence of this if they are successful at contract award stage.

|  |  |
| --- | --- |
| **Section 8** | **Additional Questions**  |

|  |  |
| --- | --- |
| **8.4** | **Suppliers’ Past Performance[[14]](#footnote-14) - (please refer to supplier selection guidance - this question should only be included by central government contracting authorities)**  |
| **a.** | Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years? | Yes ☐No ☐ |
| **b.** | On request can you provide a certificate from those customers on the list?  | Yes ☐No ☐ |
| **c.** | If you cannot obtain a certificate from a customer can you explain the reasons why? | Yes ☐No ☐ |
| **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 ☐ |
| **e.** | Can you supply the information in questions a. to d. above for any sub-contractors [or consortium members] who you are relying upon to perform this contract?  | Yes ☐No ☐ |

# Declaration 5: Code of Practice[[15]](#footnote-15)

I confirm that I am aware of the requirements of the Department’s Code of Practice[[16]](#footnote-16) 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[[17]](#footnote-17):

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**

**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 Business, 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[[18]](#footnote-18) 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[[19]](#footnote-19)

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 actions taken by consumers, in response to a signal, to change the amount of electricity they take off the grid at a particular time. It can provide cost-effective flexibility to the system – it can be used by the system operator to help balance the system, or by companies to minimise network charges during periods of peak demand. DSR can broadly be split into generation (e.g. back-up generators) and turn down / turn up (e.g. shifting demand of refrigeration to a time when it is beneficial for the system) – this project should focus on all these forms of DSR. [↑](#footnote-ref-1)
2. The DDM is BEIS’s comprehensive fully-integrated power market model covering the market in Great Britain over the medium to long-term. [↑](#footnote-ref-2)
3. Imperial College and the Carbon Trust for BEIS (2016) [An analysis of electricity system flexibility for Great Britain](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/568982/An_analysis_of_electricity_flexibility_for_Great_Britain.pdf) [↑](#footnote-ref-3)
4. Non-domestic includes industry, businesses and the public sector [↑](#footnote-ref-4)
5. Quality assurance will include sense checking data and results for example, assessing whether aggregated DSR potential is in line with key assessments, and if not, either adjusting or assessing whether there is a clear rationale to diverge from key studies; the contractor should set out what key checks will be made. [↑](#footnote-ref-5)
6. Example **business types**: Water services company; Food manufacturing; Metal recycling; Cold storage and distribution; Animal feed manufacturing; Ice rink. Key **technology types** could include electric vehicles and heat pumps, heating, thermal energy storage, ventilation, air conditioning and cooling, raw materials processing. [↑](#footnote-ref-6)
7. <http://www.statisticsauthority.gov.uk/assessment/code-of-practice/index.html> [↑](#footnote-ref-7)
8. For the list of exclusion please see https://www.gov.uk/government/uploads/system/uploads/attachment\_data/file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf [↑](#footnote-ref-8)
9. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-9)
10. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-10)
11. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-11)
12. [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-12)
13. [Procurement Policy Note 9/16 Modern Slavery Act 2015](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-13)
14. [Procurement Policy Note 04/15 Taking Account of Suppliers’ Past Performance](https://www.gov.uk/government/publications/procurement-policy-note-0415-taking-account-of-suppliers-past-performance) [↑](#footnote-ref-14)
15. Please note that this declaration applies to individuals, single organisations and consortia. [↑](#footnote-ref-15)
16. The Code of Practice is attached to this ITT as Annex B. [↑](#footnote-ref-16)
17. Please delete as appropriate [↑](#footnote-ref-17)
18. Please note ethical approval does not remove the responsibility of the individual for ethical behaviour. [↑](#footnote-ref-18)
19. Please note that this also applies to projects being undertaken by consortia. [↑](#footnote-ref-19)