



Department for  
Business, Energy  
& Industrial Strategy

# Smart Meter Energy Data Repository

SBRI COMPETITION GUIDANCE NOTES

May 2022



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- Names, contact details, age, qualifications and experience of employees whose CVs are submitted as part of the application.

### Purpose

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

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Wycliffe House  
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SK9 5AF

0303 123 1113

[casework@ico.org.uk](mailto:casework@ico.org.uk)

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

## **Contact Details**

The data controller for your personal data is the Department for Business, Energy Industrial Strategy (BEIS).

You can contact the BEIS Data Protection Officer at: BEIS Data Protection Officer, Department for Business, Energy and Industrial Strategy, 1 Victoria Street, London SW1H 0ET. Email: [dataprotection@beis.gov.uk](mailto:dataprotection@beis.gov.uk).

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# Glossary of terms and definitions

Applicant	A company, organisation or consortia of companies and/or organisations that submits an application in response to the competition
Assessment Criteria	The criteria against which compliant Competition Applicants will be assessed in relation to awarding of SBRI Contracts. These are set out at Section 7.
Authority / Contracting Authority	The Department for Business, Energy and Industrial Strategy (BEIS), 1 Victoria Street, London SW1H 0ET
BEIS	Department for Business Energy and Industrial Strategy
CEM	Customer Energy Manager – logical entity providing functionality used to manage one or more ESAs, specific to a supply point, in order to provide DSR services
Competition	Means the process used to establish awarding of contracts for the provision of feasibility studies relating to interoperable energy management systems
DCC	Data Communications Company
Deliverables	Means the reports and other outputs to be delivered under the Contract as detailed at Section 3.
Down-Selection	Means the process as detailed at Section 2.1 and Section 8 to select one (1) Phase 1 Project to advance to Phase 2.
DSR	Demand Side Response
DSRSP	Demand Side Response Service Provider
EMS	Energy Management System –used to mean domestic HEMS (home energy management system) and smaller non-domestic settings energy management systems
ESA	Energy Smart Appliance
FAQs	Frequently asked questions
Feasibility Report	The key Contract deliverable

FOIA	Freedom of Information Act (2000)
GDPR	General Data Protection Regulations
HAN	Home Area Network
HEMS	Home Energy Management System
HMG	Her Majesty's Government
IPR	Intellectual property rights
KPI	Key Performance Indicator
M	Million
MHHS	Market-wide Half Hourly Settlement
Minimum Threshold Scores	Means the minimum scores that Applicants must achieve against the Assessment Criteria to be considered for funding, as detailed at Section 7.3
NZIP	Net Zero Innovation Portfolio
OpenADR	Open Automated Demand Response
Phase 1	Means activities and outputs relating to the initial Feasibility Study phase of the innovation activity as set out at Section 2.
Phase 2	Means activities and outputs relating to the subsequent Develop and Demonstrate phase of the innovation activity as set out at Section 2.
Project Cost Breakdown Form ('the')	Means the 'BEIS Project Cost Breakdown Form' provided as an electronic Appendix to this Competition pack, and which Applicants must complete as their pricing proposal.
Project(s)	Applicants' proposals for which the Competition seeks to award SBRI funding.
Proof of Concept	A Phase 2 output capable of demonstrating and/or simulating the key features of the proposed Technical Solution
RTO	Means Research and Technology Organisation. RTOs are (mainly) private non-profit research performers or commercial research

	enterprises providing R&D services, both to government and business <sup>1</sup> .
SAPC	Standalone Auxiliary Proportional Controller
SMHAN	Smart metering home area network
SMWAN	Smart metering wide area network
SME	Small and medium enterprise
Technical Solution	A system-wide Smart Energy Data Repository Solution.
T&C	Terms and conditions
TRL	Technology Readiness Level
UK	United Kingdom
VAT	Value-Added Tax
WAN	Wide Area Network

Please note that references to the "Department" or "Authority" 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 (BEIS).

Any reference to "Programme" is a reference to the Net Zero Innovation Portfolio: Smart Meter Energy Data Repository Programme, run by the Department for Business Energy and Industrial Strategy (BEIS).

Any reference to "portfolio" is a reference to the Net Zero Innovation Portfolio (NZIP).

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<sup>1</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/451265/bis-15-321-research-and-innovation-organisations-in-the-UK-innovation-functions-and-policy-issues.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/451265/bis-15-321-research-and-innovation-organisations-in-the-UK-innovation-functions-and-policy-issues.pdf)

# Supporting Documents

The following documents support this Competition Guidance and are available within the application form.

Annex 1: Contract Terms and Conditions

Annex 2: Declarations

- Declaration 1: Statement of non-collusion
- Declaration 2: Form of Bid
- Declaration 3: Conflict of Interest
- Declaration 4: Code of Practice for Research
- Declaration 5: The UK General Data Protection Regulation Assurance Questionnaire for Contractors
- Declaration 6: Standard Selection Questionnaire

Annex 3: Project cost breakdown form

Annex 4: Risk proforma

# Smart Meter Energy Data Repository Competition – Guidance for Applicants

The purpose of this Guidance is to give a comprehensive overview of the Smart Meter Energy Data Repository SBRI Competition (“the Competition”) and associated procedures for participation in the Competition. This Competition forms part of the overarching up to [£65m Flexibility Innovation Programme](#)<sup>2</sup> which seeks to enable large-scale widespread electricity system through smart, flexible, secure and accessible technologies and markets. The Competition is to be run in two Phases

- Phase 1 – Total budget of £150k to fund up to three (3) Feasibility studies and;
- Phase 2 – Total budget of £850k to fund one (1) Phase 1 Project to develop and demonstrate the proposed Solution.

The Flexibility Innovation Programme is part of the [Net Zero Innovation Portfolio \(NZIP\)](#)<sup>3</sup> and forms a substantial part of a commitment set out in the Prime Minister’s Ten Point Plan for a Green Industrial Revolution to invest at least £100 million on energy storage and flexibility innovation challenges. For further information on other innovation activity under the Net Zero Innovation Portfolio and the Flexibility Innovation Programme, please visit the Gov webpages.

## 1. Competition Overview

### 1.1 Background & Context

The smart metering system is a rich source of energy related data (consumption, price, demand, voltage etc) but this data is effectively distributed across the millions of meters that generate and store it. As such, as a “big data” set, it is difficult to access, requiring serial requests. In addition, there may be limitations at the device level, Home Area Network (HAN) level, Wider Area Network (WAN) level and DSP (Data Service Provider) level that restrict innovative Use Cases.

**A single secure cloud-based repository of smart meter energy data would offer potential consumer benefits including those related to flexibility services and other energy data-related services that are currently unrealised, or unrealisable.**

Other smart energy system initiatives this competition is relevant to include: the Government’s Smart Systems and Flexibility Plan 2021; Ofgem’s electricity half-hourly settlement reform programme; the Energy Digitalisation Taskforce Recommendations.

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<sup>2</sup> <https://www.gov.uk/government/publications/flexibility-innovation>

<sup>3</sup> <https://www.gov.uk/government/collections/net-zero-innovation-portfolio>

- The Smart Systems and Flexibility Plan<sup>4</sup> - developed by the Government and Ofgem in coordination with the energy sector to drive a net zero energy system, with four areas of focus: support flexibility from consumers; remove barriers to flexibility on the grid; reform markets to reward flexibility and monitor flexibility across the system.
- The Market-Wide Half Hourly Settlement (MWHHS) programme<sup>5,6</sup>, which itself has implications with regards to how the Meter Data Retrieval (MDR) service should gain access to smart meter energy data.
- The Energy Digitalisation Taskforce (EDiT)<sup>7</sup>, launched by BEIS and in partnership with Ofgem and Innovate UK, aimed at accelerating energy system digitalisation by deepening policy understanding and identifying system needs.

## 1.2 Competition Aims, Objectives and Scope

### 1.2.1 Competition Aims & Objectives

The aim of this Competition is to determine the technical and commercial feasibility of a Smart Meter Energy Data Repository, quantify the benefits and costs of such a smart meter energy data repository, and to simulate how it could work. This will contribute to the building of an evidence base to inform future policy and regulatory decisions around changes to the smart meter system.

**Phase 1- Feasibility:** The aim of this phase of the competition is to establish the feasibility of a Smart Meter Energy Data Repository through funding feasibility studies. These studies will propose a Technical Solution for establishing a system-wide repository and include a proposal for a 'Proof of Concept' capable of simulating key features of such a repository. The key objectives of Phase 1 are therefore to:

- Understand the range and potential market scale and value of user applications for a Smart Meter energy Data Repository, developing use cases and quantifying associated benefits of simpler, more efficient and faster smart meter energy data retrieval for a range of users.
- Quantify the benefits and costs (both developing and maintaining) of establishing a repository, determining technical and commercial feasibility.
- Understand the technical requirements of a Smart Meter Energy Data Repository, including those associated with maintaining or exceeding current levels of security and privacy whereby data is accessed at the meter level.
- Identify a potential Technical Solution for a system wide smart meter energy data repository, building on existing solutions where possible (for example, MWHHS)
- Propose a Proof of Concept based on the Technical Solution.

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<sup>4</sup> <https://www.gov.uk/government/publications/transitioning-to-a-net-zero-energy-system-smart-systems-and-flexibility-plan-2021>

<sup>5</sup> <https://www.mhhsprogramme.co.uk/>

<sup>6</sup> <https://www.ofgem.gov.uk/energy-policy-and-regulation/policy-and-regulatory-programmes/electricity-settlement-reform>

<sup>7</sup> <https://es.catapult.org.uk/news/energy-digitalisation-taskforce-launches/>

**Phase 2- Develop and Demonstrate:** The aim of this phase of the Competition is to develop and demonstrate a 'Proof of Concept', and to set out recommendations for how a system wide repository may be created. This 'Proof of Concept' is expected to demonstrate (through simulation where required) key features of the proposed Technical Solution outlined in Phase 1, for example user interfaces, retrieval of data from the smart metering system etc. The key objectives of Phase 2 are therefore to:

- Develop and demonstrate a 'Proof of Concept' based on the preferred Technical Solution.
- Understand the barriers to commercial development and adoption of a smart meter energy data repository and the recommendations to overcome these
- Identify changes to the smart metering system required in order to create a system wide repository
- Identify delivery options and implementation plans in order to create a system-wide repository

The two Phases are outlined in this single SBRI Competition Guidance Document, though applications at this stage only relate to Phase 1. Applicants should note that details in relation to Phase 2 in this Competition document are indicative and subject to additional detail and further iteration ahead of issue to successful Phase 1 Applicants.

It is anticipated that up to three (3) Projects will be selected to develop feasibility studies in Phase 1, in line with the selection process as set out at **Section 7**. It is anticipated that only one Project would be taken forward to Phase 2 through a Down-Selection process as set out at **Section 8**.

## 1.2.2 Competition Scope

**In scope:** Projects in scope for this Competition include those which will deliver a feasibility study for, and a Proof of Concept of, a Technical Solution for a Smart Meter Energy Data Repository.

Definitions for 'Technical Solution' and 'Proof of Concept' have been provided in the Glossary. Within scope for the Phase 1 is the feasibility of a system wide repository for smart meter energy data (the "Technical Solution"); whilst within scope for Phase 2 is the delivery of a Proof of Concept- an output capable of demonstrating and/or simulating the key features of the proposed Technical Solution. Smart meter energy data includes import/ export and active/ reactive half hourly interval data as set out in SMETS.

This Competition is interested in innovative solutions. Some of the underlying technology and software components necessary to develop these solutions may already exist in other sectors and projects may use existing open-source software in order to avoid unnecessary costs. For example, solutions may use existing data analytics and visualisation software to avoid costs involved with the development of bespoke front-ends. Although successful projects may build on existing technology, solutions must be innovative with respect to their ability to meet the Competition requirements, as set out in Section 3.

The Competition is interested in Projects with scope to support the Smart System and Flexibility Plan's policy principles of interoperability, data privacy, grid stability and cyber security, specifically:

- A smart meter energy data repository would support interoperability and innovation by **providing a common and secure platform for data storage / retrieval** in a central “cloud” repository. It would support the buying and selling of flexibility, and potentially the development of other services, by creating a database of smart meter energy data including long term usage, at national, regional and local level.
- Establishing a centralised repository of smart meter energy data **may facilitate improved (compared to existing distributed) access to smart meter energy data by market participants** (aggregators, flexibility providers) to support the planning and delivery of flexibility services - to the benefit of both the grid (stability) and consumers (choice, energy savings). This will include looking into specific DSR requirements associated with communications latency and currency of energy data.
- An overriding cyber security / consumer protection principle for any such repository and its retrieval system is that **the repository and retrieval system must maintain (or exceed) the current levels of security and privacy associated with data as if it were being accessed at the meter level, i.e.:**
  - Consumption data at rest is protected from unauthorised access
  - Consumer consent required for 3<sup>rd</sup> parties wishing to access Consumption data
  - 3<sup>rd</sup> parties need to have relevant independently assured security and privacy controls in place
  - Consumer verification processes to ensure the person providing consent is the Consumer relating to the Consumption data

Anticipated applications of interest for a data repository are:

- Access to individual consumer data (noting privacy controls)
- Aggregated (pseudonymised, anonymised and non-anonymised) data sets for
  - flexibility/ demand side response (DSR) services
  - average domestic consumption derivation
  - grid infrastructure planning
- Other relevant applications

Anticipated users which would benefit from a system wide data repository may include:

- DSRSPs (aggregators, flexibility providers, virtual lead parties etc)
- Energy suppliers
- Grid operators
- Industry analysts
- Price comparison websites
- Public organisations (e.g. BEIS, Ofgem, Local Authorities, etc.)

**Out of scope:**

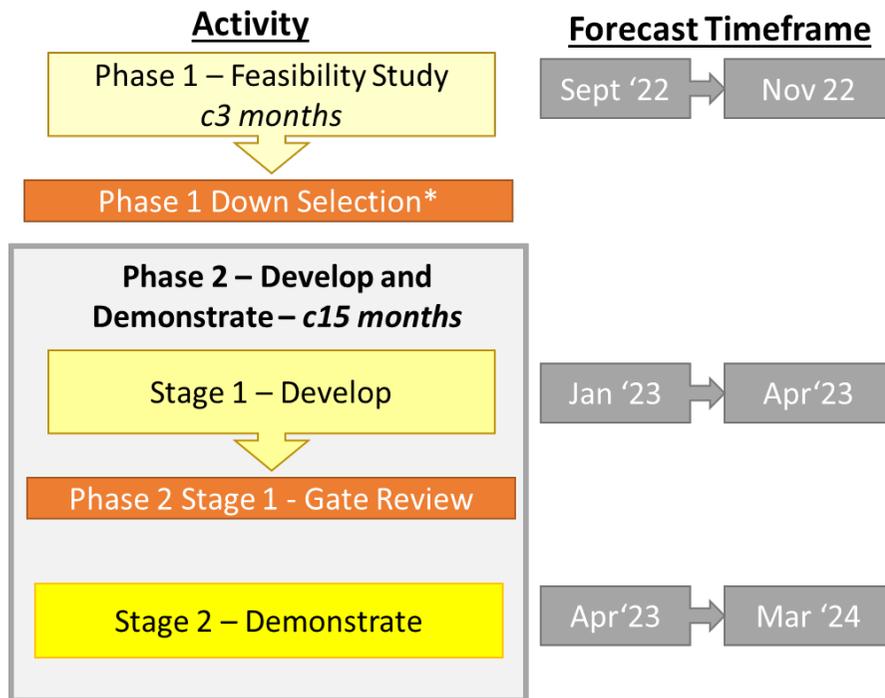
Out of scope is the delivery of a system wide smart meter energy data repository prototype.

BEIS recognises that significant policy and regulatory changes would be required to deploy and establish a system-wide repository, and that the nature of any changes are likely dependent on the solution. These changes are out of scope. The purpose of this project is to determine technical and commercial feasibility, and to build an evidence base to inform potential future policy and regulatory decisions.

## 2. Delivery Approach

The diagrams below summarise key dates, activities and outputs across the two Programme Phases. Further detail is set out at Section 3. Timescales given below are anticipated and will be agreed between successful Applicants and BEIS prior to Contract award.

**Diagram 2.1 – Programme Overview**



\*After Phase 1, a Down Selection process will take place to identify one Project to advance to Phase 2 – subject to meeting relevant eligibility and quality thresholds – see overleaf.

### Phase 1 – Feasibility Study - Summary

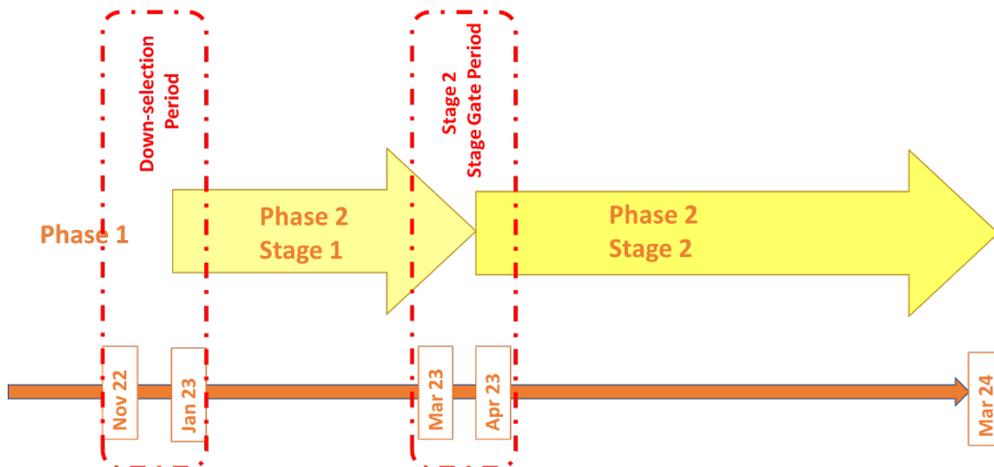
- Up to three (3) Projects funded
- Anticipated timescale of c3 months
- Feasibility Study to incorporate:
  - User requirements and use cases;
  - Cost Benefit Analysis (CBA)
  - Data Retrieval Model
  - Technical needs/supporting requirements analysis
  - A proposed Technical Solution for a system-wide Data Repository
  - A proposal for the 'Proof of Concept' system to be developed in

### Phase 2 – Develop and Demonstrate

- One (1) Project funded
- Anticipated timescale of c15 months
- **Stage 1 - Develop**
  - Develop required specification for 'Proof of Concept' based on Phase 1 Feasibility Study preferred technical solution(s)
  - Iterate and refine the Cost Benefit Analysis.
- **Stage 2 – Demonstrate**
  - Build and demonstrate a 'Proof of Concept'
  - Produce recommendations for:
    - Delivery route and commercialisation
    - Required technical developments to create a system-wide repository (the 'Technical Solution')
    - Updated CBA
    - Next steps
  - Final Reporting:
    - Analysis of outcomes and data
    - Engage with stakeholders and participants, identify lessons learned

The diagram below sets out key milestones and associated dates linked to the two critical ‘Stop:Go’ assessments embedded within the indicative Programme timeline.

## Diagram 2.2 – Programme ‘Stop:Go’ assessments



### Down-selection Period – Nov 2022 – Jan 2023

- In **November 2022**, BEIS will confirm the Down-Selection Evaluation process as detailed indicatively at **Section 8** and issue Projects with relevant Down-Selection Assessment Competition documentation for Phase 1 Projects to complete.
- Phase 1 Projects will then submit their Down Selection Competition submissions in **December 2022**.
- BEIS currently anticipates announcing the successful Project at the Down Selection Evaluation stage in late **December 2022 or early January 2023**.
- The updated Cost Spreadsheet and Project Plan as submitted by the successful Project will be inserted as Schedules to the Contract – see **Annex 1** - against which subsequent SBRI funding payments will be made.

### Phase Stage Gate Review – March – April 2023

- BEIS will complete a formal Stage Gate Review at the end of Phase 2 Stage 1 – Development. This is currently anticipated to occur in **March/April 2023**. BEIS will engage with the Phase 2 Supplier throughout the Stage 1 delivery period to ensure a ‘no surprises’ approach to the format and requirements of the Stage Gate process, the final requirements for which will be confirmed no less than two weeks before the review begins.
- If the Project taken through to Phase 2 is deemed not to have adequately satisfied Stage Gate Requirements, then no further SBRI funding will be awarded for Phase 2 Stage 2 and Phase 2 Stage 3 delivery.

## 3. Competition Requirements and Deliverables

Section 3 sets out the detailed Competition requirements – and linked Deliverables – across the Smart Energy Data Repository Competition’s two Phases.

### 3.1 Phase 1 – Feasibility Studies

#### Overview

During Phase 1, Projects will be expected to conduct a Feasibility Study for their proposed Technical Solution (a system-wide Smart Energy Data Repository) and propose a ‘Proof of Concept’ to demonstrate key features of the Technical Solution.

**Table 3.1 – Feasibility Studies – Detailed Requirements and Deliverables**

Sub-Category	Requirements	Deliverables
<p><b>Upfront Mobilisation and ongoing reporting</b></p>	<p><b>Projects shall:</b></p> <ul style="list-style-type: none"> <li>• Organise a start-up meeting to discuss and agree detailed approach in relation to:                             <ul style="list-style-type: none"> <li>○ Project engagement with delivery partners, BEIS and other relevant stakeholders</li> <li>○ Project Plan – as submitted as part of Application Stage – to inform population of Monthly Project Updates proforma – <i>see below</i></li> <li>○ Confirming arrangements for collection and monitoring of NZIP KPIs (see Section 11.2)</li> <li>○ Other relevant issues as raised by Project or BEIS personnel.</li> </ul> </li> <li>• Provide <b>Monthly Project Updates</b> via a standardised proforma which will be agreed at the Contract Award Stage. As a minimum this will include:                             <ul style="list-style-type: none"> <li>○ Summary overview of progress against key work packages</li> <li>○ Progress against milestone Deliverables</li> <li>○ Risks, and approach to mitigation</li> </ul> </li> </ul>	<p><b>Monthly Project Updates – ongoing requirement</b></p>

Sub-Category	Requirements	Deliverables
<p><b>Feasibility Study Report</b></p>	<p><b>Projects shall ensure that the Feasibility Study covers the following:</b></p> <ul style="list-style-type: none"> <li>• <u>Technical Solution Option:</u> <ul style="list-style-type: none"> <li>○ Identify a Technical Solution, including:                             <ul style="list-style-type: none"> <li>▪ Communications, storage and, security protocols;</li> <li>▪ How the SMS / DCC network can support these requirements;</li> <li>▪ Data retrieval and storage models/methods (e.g. Service Requests, “push” models etc), including:                                     <ul style="list-style-type: none"> <li>• Modelling of retrieval times from the smart metering system</li> <li>• Identifying constraints and how these could be mitigated</li> <li>• An assessment of how the model/methods impact the CBA assessment</li> </ul> </li> <li>▪ Commentary on compatibility with relevant international standards</li> <li>▪ An assessment of how long it would take to develop the fully working Technical Solution (a system-wide Data Repository), using existing historical data</li> </ul> </li> </ul> </li> <li>• <u>Use Case analysis</u>, identifying:                             <ul style="list-style-type: none"> <li>○ potential applications for a system-wide smart meter energy data repository (covering domestic and smaller non-domestic premises, the scope of the GB smart meter programme) including identification of any use cases that can only be delivered via the Technical Solution or directly via the SMS</li> <li>○ associated user requirements</li> <li>○ associated data privacy considerations and requirements (e.g. pseudonymisation)</li> <li>○ how consent and access could be improved</li> </ul> </li> <li>• <u>Cost Benefit Analysis</u> assessing:                             <ul style="list-style-type: none"> <li>○ The benefits and costs of establishing a system-wide repository, including an assessment of the benefits from the identified use cases, and comparison to alternatives (e.g. costs of directly accessing data stored in individual smart meters), and any supporting qualitative information</li> </ul> </li> </ul>	<p><b>Feasibility Study Report</b></p>

Sub-Category	Requirements	<i>Deliverables</i>
	<ul style="list-style-type: none"> <li>• <u>Conclusion (Final Report)</u> <ul style="list-style-type: none"> <li>○ Commentary on the extent to which overarching Competition aims and objectives – including NZIP and Flexibility Innovation Programme aims and KPIs have been satisfied</li> <li>○ Results of CBA, setting out clearly whether there is a net benefit and the associated assumptions and sensitivities</li> <li>○ Recommendations for the preferred Technical Solution option</li> </ul> </li> </ul>	
<b>Phase 2 Proposal</b>	<p><b>Projects shall:</b></p> <ul style="list-style-type: none"> <li>• Prepare a proposal for Phase 2 to develop and demonstrate a 'Proof of Concept', capable of demonstrating key features of the Technical Solution. This proposal will be evaluated by the Authority as part of the Down-Selection process as set out at <b>Section 8.1.</b></li> </ul>	<b><i>Phase 2 Proposal</i></b>

## 3.2 Phase 2 Develop and Demonstrate

### 3.2.1 Phase 2 Stage 1 - Development of ‘Proof of Concept’

#### Overview

During Phase 2 Stage 1, the successful Phase 1 Project will be expected to develop a detailed specification for their ‘Proof of Concept’, as outlined in the Phase 2 Proposal. Subject to a successful Stage Gate Review, the successful Project will then be invited to build and demonstrate their solution during Phase 2 Stage 2.

**Table 3.2 – Phase 2 – Stage 1 - Development – Detailed Requirements and Deliverables**

Sub-Category	Requirements	Deliverables
<p><b>Ongoing reporting</b></p>	<p><b>Projects shall:</b></p> <ul style="list-style-type: none"> <li>• Organise a start-up meeting to discuss and agree detailed approach in relation to:                             <ul style="list-style-type: none"> <li>○ Project engagement with delivery partners, BEIS and other relevant stakeholders</li> <li>○ Project Plan – as submitted as part of Application Stage – to inform population of Monthly Project Updates profoma – see <i>below</i></li> <li>○ Confirming arrangements for collection and monitoring of NZIP KPIs (see Section 11.2)</li> <li>○ Other relevant issues as raised by Project or BEIS personnel.</li> </ul> </li>   <li>• Produce a <b><i>Delivery and Payment Milestone Schedule</i></b> with evidence requirements, produced in consultation with the BEIS PMO (and to be agreed with BEIS). This Schedule will use the Project Plan as submitted by Projects at the Down Selection Phase as a key source document (see <b>Section 8.2 Assessment Criterion 4</b>). Progress against this Schedule will be monitored continuously throughout Phase 2 by successful Applicants and communicated to BEIS on a monthly basis.</li> </ul> <p>Key milestones against which Projects should track progress include – but are not limited to:</p>	<p><b><i>Delivery and Payment Milestone Schedule – ongoing update</i></b></p>

Sub-Category	Requirements	Deliverables
	<ul style="list-style-type: none"> <li>a. Outline specification</li> <li>b. Revised CBA</li> <li>c. Detailed specification</li> <li>d. Delivery plan for Stage 2</li> </ul> <ul style="list-style-type: none"> <li>• Work with BEIS appointed monitoring officers to provide <b>Monthly Project Updates</b> via a standardised proforma, agreed at the Contract Award Stage. Please see <b>Section 11</b> of this Competition document for further detail on expected reporting requirements. As a minimum this will include:                             <ul style="list-style-type: none"> <li>○ Summary overview of progress against key work packages</li> <li>○ Progress against milestone Deliverables</li> <li>○ Risks, and approach to mitigation.</li> </ul> </li> </ul>	<p><b>Monthly Project Updates- <i>ongoing requirement</i></b></p>
<p><b>Solution Development</b></p>	<p><b>The Project shall:</b></p> <ul style="list-style-type: none"> <li>• Develop a detailed specification for a 'Proof of Concept' capable of demonstrating the key features and capabilities of the proposed Technical Solution, as outlined in the Phase 1 Feasibility Study.</li> <li>• Engage with stakeholders as required to refine assumptions, requirements etc.</li> <li>• Provide satisfactory evidence of the completed final design of the 'Proof of Concept' technical solution</li> </ul>	<p><b>'Proof of Concept' Design</b></p>
<p><b>Stage 1 (Development) Report / Summary presentation</b></p>	<p><b>The Project shall produce:</b></p> <ul style="list-style-type: none"> <li>• A <b>Stage 1 Development Report</b> to support the Phase 2 Stage Gate decision. The report will include a detailed design for the Proof of Concept technical solution including:                             <ul style="list-style-type: none"> <li>○ Detail of proposed functionality;</li> <li>○ How it will demonstrate the specified Use Case(s);</li> </ul> </li> </ul>	<p><b>Phase 2 Stage 1 Development Report</b></p>

<b>Sub-Category</b>	<b>Requirements</b>	<b><i>Deliverables</i></b>
	<ul style="list-style-type: none"><li>○ How it will be capable of being used and maintained in a real-world setting; and;</li><li>○ How it will preserve existing levels of data security and privacy</li></ul>	

## 3.2.2 Phase 2 – Stage 2 – Build and Demonstrate ‘Proof of Concept’ demonstrator

### Overview

At the Build and Demonstrate stage, the down-selected Project will be expected to build the ‘Proof of Concept’ technical solution, present a Final Report and any other relevant Deliverables, and participate in relevant knowledge dissemination events

**Table 3.3 – Phase 2 – Stage 2 – Build and Demonstrate – Detailed Requirements and Deliverables**

Sub-Category	Requirements	Deliverables
<p><b>Ongoing reporting</b></p>	<ul style="list-style-type: none"> <li>• Work with BEIS appointed monitoring officers to provide <b>Monthly Project Updates</b> via a standardised proforma, agreed at the Contract Award Stage. Please see <b>Section 11</b> of this Competition document for further detail on expected reporting requirements. As a minimum this will include:                             <ul style="list-style-type: none"> <li>○ Summary overview of progress against key work packages</li> <li>○ Progress against milestone Deliverables</li> <li>○ Risks, and approach to mitigation.</li> </ul> </li> <li>• Participation in relevant knowledge dissemination events as organised by BEIS as part of the Flexibility Innovation Programme, this may include up to two showcase events</li> </ul>	<p><b>Monthly Project Updates – ongoing requirement</b></p>
<p><b>Build and Demonstrate</b></p>	<p><b>The Project shall:</b></p> <ul style="list-style-type: none"> <li>• Build a 'Proof of Concept' based on Stage 1. There are no specific requirements on use of test or production environments for data retrieval. Projects should incorporate an appropriate level of simulation as required.</li> <li>• Note that the demonstration must show how existing privacy protection requirements could be met.</li> <li>• Provide evidence of key milestones achieved at Phase 2 Stage 2, including:                             <ul style="list-style-type: none"> <li>○ Data retrieval process</li> <li>○ Hosting environment</li> <li>○ Demonstration of Use Cases via proposed user interfaces</li> <li>○ Scope for Use Cases to deliver long-term benefits</li> </ul> </li> </ul>	

<b>Sub-Category</b>	<b>Requirements</b>	<b><i>Deliverables</i></b>
<b>Final report</b>	<p><b>The Project shall provide a final report including:</b></p> <ul style="list-style-type: none"> <li>○ Outcomes of the Proof of Concept build and demonstration</li> <li>○ A reference design for a smart meter energy data repository</li> <li>○ An updated CBA</li> <li>○ A summary of technical and regulatory areas requiring further consideration and changes required to the smart meter system</li> <li>○ Recommendations for delivery options</li> <li>○ An implementation plan.</li> </ul>	<b><i>Final Report</i></b>

## 4. Competition Timetable, Application and Assessment Process

The Competition funding will be awarded using the Small Business Research Initiative (SBRI) approach<sup>8</sup>. SBRI is a well-established pre-commercial procurement process that enables the development of innovative products and services in response to specific challenges faced by government departments and public sector bodies. Successful business partners receive the finance to develop their innovative ideas, generating new business opportunities and routes to market.

Separate evaluation criteria will be used to assess contract award for Phase 1 and Phase 2. These criteria are set out at Section 7 and 8 respectively.

### 4.1 Competition Timetable

The Competition is expected to run from May 2022 until September 2022. Indicative key Competition dates are shown in Table 4.1 below. Please note BEIS reserves the right to vary these dates.

**Table 4.1: Competition timetable**

Stage	Activity	Target Date
<b>Phase 1 – Up to 3 Projects awarded SBRI funding</b>		
<b>Launch</b>	Competition opens to Applicants:	23 May 2022
	Briefing events for potential Applicants:	14 June 2022
	Submit Applicant clarification questions via e-mail <sup>9</sup>	<b>14:00 23 June 2022</b>
	Publication of Applicant clarification questions and answers	30 June 2022
<b>Apply</b>	Submit registration online by:	<b>14:00 05 July 2022</b>
	Submit proposal online by:	<b>14:00 12 July 2022</b>

<sup>8</sup> <https://www.gov.uk/government/collections/sbri-the-small-business-research-initiative>

<sup>9</sup> Applicants should use 'SMRI - SEDR Competition' as the header) to [flexibilityinnovation-datarepository@beis.gov.uk](mailto:flexibilityinnovation-datarepository@beis.gov.uk):

<b>Assess</b>	Eligibility check, technical assessment and moderation:	July and August 2022
	<b>Notification of award:</b>	<b>06 September 2022</b>
<b>Award</b>	Award Agreement / Contract signature	September 2022
	Phase 1 Contract start date	September 2022
<b>Phase 2 – One Phase 1 Project awarded further SBRI funding</b>		
<b>Issue</b>	Confirmation of Down-Selection assessment process and issue of Down-Selection submission documentation	November 2022
<b>Apply</b>	Submit Down-Selection documentation online	December 2022 / January 2023
<b>Assess</b>	Further Eligibility check, technical assessment and moderation	January 2023
<b>Award</b>	Confirmation of subsequent SBRI Award	January 2023
	Phase 2 Contract start Date	January 2023

## 4.2 Application

The Application process is as follows:

### 1 – Accessing application documentation

- Applicants will be asked to complete an online Registration Form, following which a unique password will be generated. This will be required to access and complete the online Competition application form. The [online Registration Form is available here](#). Applicants are encouraged to register their interest by submitting registration forms by **05 July 2022 at 14:00**.
- Within a week of receipt of the Registration Form, BEIS will issue a confirmation e-mail to the Applicant, with a password to log into the online application system and submit a subsequent application.
- Potential Applicants can also find further information on how to apply at the information event on 14th June 15:00 2022, register for the event [here](#). Documentation from the event will be published on the [Competition website](#).

### 2 – Completion of online application including clarification stage

- On receipt of the unique password, Applicants can then complete the online application form and submit supporting information outlining their proposal.
- To inform their application, Applicants are able to submit clarification questions to [flexibilityinnovation-datarepository@beis.gov.uk](mailto:flexibilityinnovation-datarepository@beis.gov.uk) . Applicants should state in the e-mail header that the clarification question(s) relate to the '**Flex SEDR Competition**'. The deadline for submitting clarification questions is **23 June 2022 at 14:00. Questions submitted after this deadline may not be answered.**
- The Authority will publish replies to any questions which, in our judgement, are of material significance through an online anonymised FAQ sheet, on or before **30 June 2022.**
- All Applicants should consider the answers to the clarification questions and this Competition Guidance when preparing applications. BEIS will evaluate applications on the assumption that they have done so.
- Applicants should ensure they have read this Competition Guidance document before starting to complete the application form.
- Applicants can save their application at any time by clicking "Save and Continue Later." You will then be e-mailed a link which you can use to return to your application and complete it, logging in with the same password.
- Any queries with the online application should be e-mailed to [flexibilityinnovation-datarepository@beis.gov.uk](mailto:flexibilityinnovation-datarepository@beis.gov.uk) Applicants should state in the e-mail header that the clarification question(s) relate to the '**Flex SEDR Competition**'.

### 3 – Submission of Proposal

- The full proposal including uploads of all required supporting documents (see 'Submission Content' bullet below) must be submitted online by **12 July 2022 at 14:00.** Please note that each supporting document cannot exceed the size limit as set out within the application form.
- Any applications or supporting documentation received after the application deadline will not be considered.

**Submission Content:** Each proposal must include the following:

- Completed application form (online) including responses to relevant Assessment Criteria as set out at **Section 7** to this document.
- The following signed declaration forms. Applicants must download through the online application form, sign, and re-upload to their application:
  - Declaration 1: Statement of non-collusion
  - Declaration 2: Form of Bid – agreeing to the terms of the Competition application process
  - Declaration 3: Conflict of Interest
  - Declaration 4: Code of Practice for Research
  - Declaration 5: The UK General Data Protection Regulation Assurance Questionnaire for Contractors

- Declaration 6: Standard Selection Questionnaire
- Completed Cost Breakdown Form, [downloadable through the online application form; Applicants must sign and re-upload to their application].
- Completed Project Plan, e.g., detailed project Gantt chart and description of work packages, [to be attached by applicant to their online application].

You should answer all questions on the application form in full. Incomplete applications are likely to be rejected, although BEIS may, at its discretion, request clarification or additional data before making a final decision.

**Submission Costs:** You will not be entitled to claim from BEIS any costs or expenses that you incur in preparing your application, whether or not your proposal is successful.

**Consortium Applications:** Applications may be submitted by project teams (consortia). Only one application should be submitted for each application, but all consortium partners are required to sign the completed declaration form for their application (Form of Tender).

If a consortium is not proposing to form a separate legal entity, the project partners will need to complete a Consortium Agreement and funding will not be provided by BEIS until a signed consortium agreement has been finalised between all the members of the project consortium. A satisfactory Consortium Agreement must be signed within one (1) month of SBRI Funding Agreement signature. Please note that BEIS reserves the right to require a successful consortium to form a single legal entity in accordance with Regulation 19 of the Public Contracts Regulations 2015 (as amended by the Public Procurement (Amendment etc.) (EU Exit) Regulations 2020).

BEIS recognises that arrangements in relation to consortia and sub-contractors may (within limits) be subject to future change. Applicants should therefore respond in the light of the arrangements as currently envisaged and are reminded that any future proposed changes in relation to the consortium must be submitted to BEIS for approval

**Tender Validity.** Tenders shall be valid for a minimum of 90 calendar days from the submission deadline.

**Information Sharing.** BEIS may share information from applications with other UK Government departments, UKRI or with Ofgem for evaluation of the programme against broader decarbonisation efforts.

## 4.3 Assessment

Applications will initially be assessed against the Eligibility Criteria in **Section 6** below. **Applications which fail to satisfy the Eligibility Criteria will not be assessed further, so it is essential to ensure that your Project meets these criteria before you submit your application. Ineligible applications will receive brief feedback on the reason for their ineligibility.** The Phase 1 assessment process is described in **Section 7**.

## 4.4 Award

The Competition contract agreements are expected to be signed in **September 2022**. Please note that BEIS reserves its right to not award any Contract agreements under this Competition.

**Contract terms:** The Contract Agreement will be based on the BEIS pre-commercial procurement contract. The terms and conditions for this agreement are provided in Annex 1. These terms and conditions are final and non-negotiable: by applying to the Competition, you are agreeing to these terms and conditions.

Whilst no changes to the Contract will be permitted, there will be an opportunity for successful Applicants, prior to contracts being signed, to discuss the Contract at a meeting with official(s) from BEIS. The BEIS official(s) will explain the contractual terms and conditions and respond to any queries which the Applicant may have at this stage. It is crucial that all Applicants review the terms and conditions prior to the submission of their application and ask any questions prior to submitting the application. BEIS officials will also discuss any risks raised through the assessment process and finalise the formal project milestones with the project team before issue of the Contract.

**Consortium applications:** For consortium applications, the lead company (project co-ordinator) will be the recipient of the Contract (the Supplier) and will be responsible for managing payment to the other project partners as well as sub-contractors.

## 5. Contract Size and Restrictions on Funding

### 5.1 Competition budget and availability

The total budget available for this Competition covering Phase 1 is up to **£150,000** although BEIS may, at its discretion, choose not to make an award, increase the available budget, or allocate an award that is less than the total budget depending on the quality of applications. BEIS anticipates funding up to three Projects with a maximum value of **£50,000** per Project. Funding will be allocated based on the assessment process as set out at **Section 7**.

A maximum of **£850,000** will be available for Phase 2 funding. BEIS anticipates funding one Project at Phase 2, with funding to be allocated based on the assessment process as set out at **Section 8**.

Should further budget become available, BEIS may, at its discretion, choose to award funding to additional projects in order of total scores achieved in line with the process as set out at **Section 7.3**.

When applying, all costs should be provided **excluding VAT<sup>10</sup>**.

#### **IMPORTANT INFORMATION - No Reliance**

Nothing in this funding call requires BEIS to award any Applicant a contract of any particular amount or on any particular terms. BEIS reserves the right not to award any contracts.

Applicants apply for funding in this Competition at their own risk and expense. BEIS will not, under any circumstances, be liable or nor make any contribution to the costs of participation, preparing proposals and taking any professional or specialist advice. Applicants accept the risk that they may not be awarded a contract. BEIS gives no guarantee or warranty as to the nature, or number of projects funded.

### 5.2 Eligible Costs

Applicants are instructed that the Project costs quoted must reflect actual costs at a 'fair market value' and for this Competition, suppliers' profit must not be included. Your application must have at least 50% of the contract value attributed directly and exclusively to research and development services.

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<sup>10</sup> SBRI funding is within the scope of VAT so you can charge output VAT on top of your submitted costs (maximum £50,000 for Phase 1). If you incur non-recoverable input VAT costs, you can pass this on to BEIS but these irrecoverable VAT costs will be included within the maximum £50,000 cost.

Applicants are required to complete the Project Cost Breakdown Form (attached to the online application form) to provide the necessary cost information for the assessment process. With the Competition requiring production of desktop reports, BEIS anticipates that Applicants costs are likely to relate to people costs and linked overheads.

Project costs quoted must meet the requirements linked to eligible and ineligible costs as set out in **Appendix 2**. Further itemisation of costs and methods of calculation may be requested to support the application.

# 6. Eligibility for Funding

## 6.1 Competition Eligibility Criteria

To be eligible for funding, proposed Projects must meet all the following eligibility criteria. These will be listed in the online application form as the Yes/No questions exemplified below. Unless otherwise stated all criteria will apply to both this Phase 1 Competition, and the down selection of one Supplier to deliver against Phase 2 requirements.

### 1. Project Location

Over 50% of the Project's activities (as measured by eligible Project costs) must be conducted in the UK.

### 2. Technology Scope and Applications

Please see **Section 1.2.2** for detail regarding scope of this Competition and expected technology scope.

### 3. Project Status

BEIS cannot provide funding for retrospective work on projects or provide funding to projects which have already begun. The value of retrospective work may, however, be considered in the assessment process.

### 4. Project Timescales

Target dates for key Project milestones will be agreed between successful Applicants and BEIS prior to awarding the contract. Awarded contracts cannot fund retrospective work.

### 5. Additionality

Projects can only be funded where evidence can be provided that innovation would not be taken forwards (or would progress at a much slower rate) without public sector funding.

### 6. Terms and Conditions

Applicants must agree to the published Terms and Conditions.

### 7. Contract size

Funding will be awarded for up to three Projects

As detailed at **Section 5.1**, the indicative maximum award size per Project is £900,000 (this must cover 100% of project costs).

This comprises:

- the £50,000 (maximum) funding to be awarded under this Phase 1 Competition for up to three (3) Projects; and
- the £850,000 (maximum) funding to be awarded to one (1) Project for subsequent Phase 2 activities following the Down-Selection process.

Funding will be awarded under two separate contracts – see **Annex 1**.

## **8. Eligible Project costs**

BEIS will fund 100% of eligible Project costs through this competition, no match or in-kind funding is allowed.

SBRI is aimed at organisations working on research and development (R&D) of an innovative process, material, device, product, or service prior to commercialisation. Projects requesting funding for commercialisation activities are not eligible. Project teams are not permitted to include profit or contingency costs in the eligible project costs

Further information on eligible project costs is set out in **Appendix 2**.

## **9. Risk-Benefit Sharing**

The sharing of risks and benefits is an important aspect to the SBRI approach. Projects receive financial support and retain any intellectual property generated, with certain rights of use retained by BEIS (see **Section 12**). Project outputs are also expected to be shared widely and publicly and project teams are not permitted to include profit in the eligible project costs.

## **10. Applicants and Project team composition**

Based on anticipated skills and expertise requirements, the Project team is likely to be drawn from the following (noting that this list is not exhaustive and that some organisations may combine some of these attributes):

- Developers / manufacturers of energy management systems and products
- Data Communications Company (DCC) user
- Energy IT service providers
- Providers with knowledge of privacy controls and consumer consent mechanisms
- An overriding cyber security / consumer protection principle for any such repository and its retrieval system is that the repository

Special Purpose Vehicles are permitted to lead consortia only if constituted as legal entities.

For consortium applications, a single project application must be submitted by the lead project member (the project co-ordinator) on behalf of the consortium (please note that all consortium members will be required to sign the declaration form for their application).

Applicants (sole Applicants and lead project members of consortium applications) must be able to demonstrate that they are financially viable. Applicants based in Northern Ireland, or with significant interests or subsidiaries in Northern Ireland, will also be subject to scrutiny from the European Commission in accordance with Article 10 of the Northern Ireland Protocol to the UK/EU Withdrawal Agreement.

### **11. Multiple Applications**

If project consortium members or subcontractors are part of multiple successful applications, they must be able to deliver on them and they must not have applied for funding for the same piece of work more than once.

No organisation may lead more than one application.

### **12. Acceleration Support for SME Applications**

The BEIS Acceleration Support Scheme is available to Small & Medium Enterprise (SME) applicants who successfully make it to Phase 2: Development. This support is 100% funded by BEIS and will focus on supporting SMEs during Phase 2 to prepare commercial plans and actions that will increase the chance of successfully bringing the innovation to market, or reduce the time to market. More detail on this scheme, including eligibility, is included in **Appendix 5**.

### **13. Change in team composition**

The lead project member must immediately inform BEIS when they become aware of a likely change in project team composition. Where a new project team member is proposed as replacement, the lead project member must provide the same information for the proposed replacement team as would have been required at the initial application stage.

BEIS will review the proposed change and linked implications and raise clarification questions as required for any identified areas of risk associated with the proposed change. BEIS reserves the right to withhold future SBRI funding where it does not believe these clarification questions have been adequately addressed and mitigated.

## **6.2 General BEIS Conditions**

Applicants must not meet any of the BEIS grounds for mandatory rejection, and as a general rule they should not meet any of the BEIS grounds for discretionary rejection (**see Appendix 3**). Applicants will be required to declare this as part of completing the Standard Selection Questionnaire.

### **Conflicts of interest**

The BEIS standard terms and conditions of contract include reference to conflict of interest and require Suppliers 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 Supplier, 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 consortium or organisation designs working arrangements such that the findings cannot be influenced (or perceived to be influenced) by the organisation which is the owner of a potential conflict of interest. For example, consideration should be given to the different roles which organisations play in the research or analysis, and how these can be structured to ensure an impartial approach to the project is maintained.

This is managed in the procurement process as follows:

- During the application process, Applicants may contact BEIS to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.
- Suppliers are asked to sign and return Declaration 3 (this is embedded in the online application form and is included for reference in Annex 2) to indicate whether or not any conflict of interest may be, or be perceived to be, an issue. If this is the case, the contractor or consortium should give a full account of the actions or processes that it will use to ensure that conflict of interest is avoided. In any statement of mitigating actions, contractors are expected to outline how they propose to achieve a robust, impartial and credible approach to the research.
- When applications 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 BEIS exercising its right to terminate any contract awarded.

Applicants will be subject to financial viability checks, as described in **Section 9**. BEIS will make a decision as to the eligibility of projects based on the results of these checks.

## 7. Assessment Process and Criteria – Phase 1

Section 7 sets out the Assessment process and criteria for the initial Feasibility stage contract award under the SEDR programme. The Assessment process will be conducted as follows:

- Applications will be considered initially against the Competition eligibility criteria as set out in **Section 6**.
- Applications which meet all relevant eligibility criteria as detailed at Stage 1 will be further assessed against a number of Assessment Criteria by a minimum of three assessors (BEIS or BEIS appointed assessors). The Assessment Criteria and linked scoring approach are set out at **Sections 7.1** and **7.2** respectively.
- Project scores will then be moderated to determine a ranking list that will be used to allocate the funding in line with guidance at **Section 7.3**.

Successful Applicants at the Feasibility stage will then take part in a subsequent Down-Selection Assessment process on the basis of which further SBRI funding will be awarded to one Applicant at the end of the Feasibility stage. The planned Down-Selection Assessment Process and Criteria are set out at Section 8.

**Applicants should only respond to questions set out in Section 7 for this Competition.**

### 7.1 Assessment Criteria

Applicants will be assessed against their response to the Assessment Criteria as set out below. Each of the seven criterion will be scored independently and will be given a score between 1 and 5 consistent with the guidance at **Section 7.2** below. Applicants should ensure that their responses specifically address the requirements as set out in the ‘Guidance’ section linked to each Assessment Criteria.

<b>Assessment Criterion 1 - Description of innovative technical solution and alignment with key Competition aims</b>			
Weighting	25%	Maximum Word Count	3,000
<b>Guidance</b>			
Applicants should use their responses to:			
<ul style="list-style-type: none"> <li>• Demonstrate a clear understanding of the overarching Competition Requirements.</li> <li>• Summarise how they believe their proposed Solutions can meet all Project Objectives as set out at <b>Section 1.2.1</b>. and is within the Competition Scope as set out in <b>Section</b></li> </ul>			

<p><b>1.2.2.</b> Including clear relation of proposed solutions to the overall aims of the NZIP and the Flexibility Innovation Programme.</p> <ul style="list-style-type: none"> <li>• Highlight the innovative nature of their proposed Proof of Concept solutions.</li> <li>• Clearly set out their delivery approach which will enable them to satisfy all of the Core Requirements – and linked Deliverables as set out at <b>Section 3</b>.</li> </ul>			
<p><b>Assessment Criterion 2 - Project Team and Expertise</b></p>			
Weighting	20%	Maximum Word Count – <i>not including CVs</i>	1,500
<p><b>Guidance</b></p> <p>Applicants should use their responses to detail how their organisation(s) and proposed project team can offer the relevant skills, capabilities and expertise required to meet the Competition Requirements, as set out in <b>Section 3 and Section 6 above</b>. Responses should include:</p> <ul style="list-style-type: none"> <li>• An organogram and high-level resource plan clearly detailing the roles of all personnel from the lead Applicant – and consortium partners as relevant – in delivery of the Project.</li> <li>• The relevant skills, qualifications, and expertise of main Project team members mapped against key requirements as set out at <b>Section 3 and Section 6 Paragraph 10 – Applicants and Project team composition</b>. Summary CVs for relevant personnel – maximum one side per person – may be attached to your application.</li> <li>• Details of projects completed in the last five (5) years that you consider of relevance to this Competition including key lessons learnt.</li> <li>• A description of the Project team’s quality management standards, including a description of how the Project team will quality assure both technical outputs and report writing. Any relevant external QA accreditation should also be referenced.</li> </ul>			
<p><b>Assessment Criterion 3 – Project Management and Risk</b></p>			
Weighting	20%	Maximum Word Count – <i>Not including Project Plan</i>	1,500
		Risk Proforma - Maximum Page Count	4 pages – Arial font 11

**Guidance**

Project Management

Applicants’ responses should include:

- A separate A3 Gantt chart – or similarly detailed Project Plan attachment which:
  - Is structured on a monthly basis for Phase 1 and then quarterly for Phases 2:
  - For Phase 1:
    - Clearly sets out key monthly tasks and milestones associated with the production of Project Deliverables as set out at **Section 3**.
    - Highlights critical dependencies – with accompanying narrative to be provided within main body response.
  - For Phase 2:
    - Summarises key quarterly tasks and assumed milestones to meet subsequent Competition Deliverable requirements\*.
    - Identifies any critical dependencies linked to achieving overarching Competition requirements.
- Accompanying narrative detailing how you will ensure effective and appropriate project management throughout the Project Phases.

Risk

Applicants’ responses should include:

- A summary of the approach to risk management, including cybersecurity and privacy protocols around the collection, handling and storing of data.
- Completion of the provided Risk Proforma what they regard as the five (5) key risks to successful delivery of the Phase 1 Requirements. The Risk Proforma should be populated with:
  - A summary of the risk – including dependencies
  - The potential risk impact; and
  - Proposed approach to risk mitigation

*\*We understand that following the Feasibility Study phase, Phase 2 plans may change. At the completion of Phase 1, Projects will be required to report changes to Phase 2 plans to BEIS before progressing to Phase 2.*

**Assessment Criterion 4 – Knowledge Dissemination**

Weighting	5%	Maximum Word Count	1,000
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**Guidance**

Consistent with relevant Intellectual Property requirements as set out at **Paragraph 27 to Annex 1**, Applicants are required to set out their plans for wider knowledge dissemination.

Applicants’ responses should include:

- A detailed Phase 1 knowledge dissemination plan and outline knowledge dissemination plans for Phase 2, describing:
  - How outcomes from the Feasibility Study will be shared with industry, and key stakeholders, including lessons learned, and challenges faced.
  - The scale and scope of the proposed dissemination and knowledge transfer activities.

**Assessment Criterion 5 – Social Value**

Weighting	5%	Maximum Word Count	1,000
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**Guidance**

Applicants are required to provide commentary on how and why they believe the Project for which they are seeking SBRI funding support can positively contribute to the following “Tacking Economic Inequality” Policy Outcomes as set out in HMG’s [Social Value Model](#).

- Creating new businesses, jobs and skills.
- Increasing supply chain resilience and capacity

**Assessment Criterion 6 – Value for Money**

Weighting	15%	Maximum Word Count	1,500 – <i>Not including words in Project Cost Breakdown Form</i>
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**Guidance**

Applicants are required to complete the Project Cost Breakdown Form included as an electronic attachment in the Competition Pack – the ‘**Phase 1 Project Cost Breakdown Form**’ in line with guidance within the pack and at **Appendix 4**.

In addition, Applicants are required to provide overarching commentary (max 1,500 words) to accompany the detailed breakdown of their Project costs for all phases as set out in the Project Cost Breakdown Form. This commentary should:

- Detail how you have satisfied yourself that all costs and overheads are realistic, robust, justified, and fair market value.
- Demonstrate Project **additionality**, clearly setting out why SBRI funding is necessary for the Project to be taken forward, and why, without funding, the Project would either: not go ahead as planned, go ahead but on a reduced scale, or go ahead but over a longer timescale.

Applicants should note that BEIS anticipates Phase 1 being largely desk-top and hence person-intensive exercise. On this basis additional justifying narrative should be provided for Phase 1 costs other than those captured on the ‘Labour and Overheads’ tab.

Applicants should include within their cost submissions eligible travel costs linked to attending a maximum of two Flexibility Innovation programme showcase events at one of the BEIS offices in either London or Salford<sup>11</sup>.

**Applicants should also note that BEIS will not normally pay overheads of over 50%, and overheads above this amount will need to be fully justified.**

#### Assessment Criterion 7 – Price – Phase 1

Weighting	10%	Maximum Word Count	Not applicable. Applicants will be scored on submitted capped price.
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#### Guidance

Projects will be assessed based on their Total Project Costs figure as calculated at cell E31 on the ‘Summary’ tab of their Project Cost Breakdown Form. This will be subject to:

- A maximum price cap of £50,000, and:
- All costs and overheads submitted on the Project Cost Breakdown Form meeting relevant eligibility requirements as set out at Appendix 2.

Scores will be awarded as follows:

The Applicant(s) submitting the lowest price will receive a maximum score of 5. All other Applicants will then be scored on a proportionate basis as set out below.

Applicant	Price (net VAT)	Score – maximum of 5
1 (lowest price)	£35,000	5
2	£40,000	$\frac{£35,000}{£40,000} * 5 = 4.38$ (2 d.p.)

<sup>11</sup> Within the Phase 1 Project Cost Breakdown Form Applicants are asked to include reasonable Travel and Subsistence costs (from within the UK) for one person to attend one Programme Showcase event in central London and one in Salford – see stipulated rows on the ‘Travel and Subsistence’ tab

3	£50,000	$\text{£}35,000/\text{£}50,000 * 5 = 3.5$ (2 d.p)
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## 7.2 Scoring Guidance

Applicants' Assessment Criteria 1 – 6 responses will be scored system outlined below.

**Table 7.1: Scoring Guidance**

Score	Description
1	<b>Not Satisfactory:</b> There is no evidence to very little evidence that the question has been satisfactorily answered and major omissions are evident.
2	<b>Partially Satisfactory:</b> There is little evidence that the question has been satisfactorily answered and some omissions are evident. Much more detail is needed.
3	<b>Satisfactory:</b> There is reasonable evidence that the question has been satisfactorily addressed but some omissions are still evident and further detail is needed.
4	<b>Good:</b> The question has been well addressed with a good evidence base, with only minor omissions or lack of detail.
5	<b>Excellent:</b> There is clear evidence that the question has been completely addressed in all aspects, with questions answered clearly, concisely with a strong evidence base.

## 7.3 Selection Approach

The Authority will select those applications that offer the best overall value for money, based on their assessment against the criteria outlined in **Section 7.1**. Applications will be assessed by a minimum of three assessors, which could include BEIS assessors and independent assessors (technical and commercial experts). A moderation meeting will be held at the end of the assessment process to agree the overall weighted scores for each of the applications.

Applications responses to Assessment Criteria 1-6 will be scored using the scoring system outlined at Table 7.2. To be eligible to receive funding, a Project application must achieve the following Minimum Threshold Scores:

- Achieve a score of at least 2 out of 5 for Assessment Criteria 1-6.
- Achieve an overall minimum weighted score across all 7 Assessment Criteria of 50%.

Applicants will be ranked in order of merit based on overall weighted score achieved. The three (3) highest-scoring eligible proposals which satisfy the relevant Minimum Threshold Scores will be put forward for funding.

In the event that two or more eligible Applications receive the same overall weighted score, then the assessors will reconvene for a further moderation session to agree a consensus position around who should receive funding.

## 8. Down-Selection Assessment - Process and Criteria

**Please note - the Down-Selection Assessment Process and Criteria presented in Section 8 are indicative and subject to additional detail and further iteration ahead of issue to successful Phase 1 Applicants.**

The Authority will use the Down-Selection Assessment process to select a maximum of one (1) Project awarded funding at Phase 1 to advance to Phase 2 and access additional funding of up to £850,000 (excluding VAT).

The process to select the Phase 1 Project to progress to Phase 2<sup>12</sup> will interrogate the technical, cost and commercial viability of Projects' 'Proof of Concept' for a smart meter energy data repository as set out in their Feasibility Studies. As part of the Down-Selection assessment, Projects will also need to provide updated Project Plans, cost projections and risk analysis.

The Down-Selection Assessment process is set out below:

- Phase 1 Projects will initially again be considered against the Competition eligibility criteria as set out in **Section 6** to ensure ongoing compliance.
- Phase 1 Projects which meet all relevant eligibility criteria as detailed at Stage 1 will then be further assessed against a number of Assessment Criteria by a minimum of three assessors (BEIS or BEIS appointed assessors). The Assessment Criteria and linked scoring approach are set out at **Sections 8.1** and **8.2** respectively.
- Project scores will then be moderated to determine a ranking list that will be used to allocate the funding in line with guidance at **Section 8.3**.
- The Feasibility Study, the Project Cost Breakdown Form and Project Plan as submitted by the successful Phase 1 Project -and updated as required in line with BEIS clarification– will be added as Contract Schedules and form the basis of SBRI payments over the Phase 2 period.

### 8.1 Down-Selection Assessment Criteria

Phase 1 Projects will be assessed against their responses to the 6 Assessment Criterion as set out below.

Criteria 1-5 will be scored independently and will be given a score between 1 and 5 consistent with the guidance at **Section 8.2** below.

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<sup>12</sup> Progression to Phase 2 being contingent on satisfying the Stage Gate Review process

Criterion 6 – Capped Price - will be scored proportional to other Phase 1 Projects as detailed in **Table 8.1** below

No additional submissions will be required for **Assessment Criteria 1-2** as both will assess content already provided by Phase 1 Projects specified in **Section 3**.

**Assessment Criteria 3-6** will require the additional information submissions from Phase 1 Projects, in line with the content requirements as set out at **Table 8.1** below.

Applicants should ensure that their responses specifically address the requirements as set out in the 'Guidance' section linked to each Assessment Criteria.

**Table 8.1 – Down Selection – Assessment Criteria**

<b>Assessment Criterion 1 – Feasibility Study Assessment</b>			
Weighting	30%	Maximum Word Count	n/a – Feasibility Study Reports
<p><b>Guidance</b></p> <p>The Feasibility Study Assessment will evaluate the extent to which Phase 1 Projects' Feasibility Studies provide a robust and credible initial 'Proof of Concept' assessment of the proposed smart meter energy data repository technical solution.</p> <p>Specific areas of assessment will include all specified Feasibility Study content headings as set out at <b>Section 3</b>, specifically:</p> <ul style="list-style-type: none"> <li>• Use Case analysis</li> <li>• Data retrieval model</li> <li>• Technical solution options</li> <li>• Cost Benefit Analysis</li> <li>• Conclusion</li> </ul>			
<b>Assessment Criterion 2 – Phase 2 Proposals</b>			
Weighting	20%	Maximum Word Count	n/a – Feasibility Study Reports
<p><b>Guidance</b></p> <p>Phase 1 Projects will be assessed on the scope and quality of their proposals for the design, development and demonstration of a "Proof of Concept" demonstrator for the preferred smart energy data repository technical solution at Phase 1.</p>			
<b>Assessment Criterion 3 – Costed Development Plan</b>			
Weighting	15%	Maximum Word Count – <i>not including words in Project Cost Breakdown Form</i>	1,500

**Guidance**

As set out at **Section 3**, as part of the Feasibility Study process, Phase 1 Projects will be asked to complete a further, more detailed version of the Project Cost Breakdown Form – the **‘Project Cost Breakdown Form – Phase 2’**.

In addition, Projects are required to provide overarching commentary (*max 1,500 words*) to accompany the detailed breakdown of their Project costs for Phases 2 as set out in the Project Cost Breakdown Form. This commentary should:

- Detail how Projects are satisfied that all costs and overheads are realistic, robust, justified, and fair market value.
- Demonstrate Project **additionality**, clearly setting out why SBRI funding remains necessary for the Project to be taken forward.

**BEIS will not normally pay overheads of over 50%, and overheads above this amount will need to be fully justified.**

**Assessment Criterion 4 – Project Management**

Weighting	15%	Maximum Word Count – <i>not including Gantt chart</i>	1,500
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**Guidance**

Responses should include:

- A separate A3 Gantt chart – or similarly detailed Project Plan attachment which:
  - Is structured on a monthly basis;
  - Summarises key monthly tasks and assumed milestones to meet Phase 2 Deliverable requirements including task owners for consortia; and
  - Identifies any critical dependencies linked to achieving overarching Phase 2 Requirements.
- Accompanying narrative detailing how you will ensure effective and appropriate project management throughout Phase 2. This should factor in lessons learnt during Phase 1.

**Assessment Criterion 5 – Project Risks**

Weighting	10%	Maximum Word Count	n/a – Completion of Risk Proforma – Max 4 pages Arial font 11
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**Guidance**

Applicants should use their responses to detail in the provided Risk Proforma what they regard as the five (5) key risks to successful delivery of the Phase 2 Requirements.

- Responses should include:
  - A summary of the risk – including dependencies
  - The potential risk impact; and
  - Proposed approach to risk mitigation to include lessons learned during the Feasibility Stage process.

**Assessment Criterion 6 – Price – Phase 2**

Weighting	10%	Maximum Word Count	Not applicable. Applicants will be scored on submitted capped price.
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**Guidance**

Projects will be assessed based on their Total Project Costs figure as calculated at cell E31 on the ‘Summary’ tab of their Project Cost Breakdown Form. This will be subject to:

- A maximum price cap of £850,000 for Phase 2, and:
- All costs and overheads submitted on the Project Cost Breakdown Form meeting relevant eligibility requirements as set out at Appendix 1.

Scores will be awarded as follows:

The Phase 1 Project(s) submitting the lowest price for Phase 2 will receive a maximum score of 5. All other Projects will then be scored on a proportionate basis as set out below.

Project	Price (net VAT)	Score – maximum of 5
1 (lowest price)	£750,000	5
2	£800,000	$\frac{£750,000}{£800,000} * 5 = 4.69$ (2 d.p.)
3	£850,000	$\frac{£750,000}{£850,000} * 5 = 4.41$ (2 d.p.)

## 8.2 Down Selection Assessment - Scoring Guidance

Applicants’ Assessment Criteria 1 – 5 responses will be scored based on the system below:

**Table 8.1: Scoring Guidance**

Score	Description
1	<b>Not Satisfactory:</b> There is no evidence to very little evidence that the question has been satisfactorily answered and major omissions are evident.
2	<b>Partially Satisfactory:</b> There is little evidence that the question has been satisfactorily answered and some omissions are evident. Much more detail is needed.
3	<b>Satisfactory:</b> There is reasonable evidence that the question has been satisfactorily addressed but some omissions are still evident and further detail is needed.
4	<b>Good:</b> The question has been well addressed with a good evidence base, with only minor omissions or lack of detail.
5	<b>Excellent:</b> There is clear evidence that the question has been completely addressed in all aspects, with questions answered clearly, concisely with a strong evidence base.

### 8.3 Down Selection – Evaluation Approach

BEIS will select the Phase 1 Project that offers the best overall value for money, based on their assessment against the criteria outlined in **Section 8.1**. Projects will be assessed by a minimum of three assessors, which could include BEIS assessors and independent assessors (technical and commercial experts). A moderation meeting will be held at the end of the assessment process to agree the overall weighted scores for each of the projects.

Responses to Assessment Criteria 1-5 will be scored using the scoring system outlined at **Table 8.2**. To be eligible to receive funding, a Project application must achieve the following Minimum Threshold Scores:

- Achieve a score of at least 2 out of 5 for Assessment Criteria 1-5.
- Achieve an overall minimum weighted score across all 6 Criteria of 50%.

The highest-scoring eligible Phase 1 Project which satisfies the relevant Minimum Threshold Scores will be put forward for funding of **up to £850,000 at Phase 2** (subject to meeting relevant Phase 2 Stage Gate Review requirements).

In the event that two or more eligible Projects receive the same highest ranking overall weighted score, then the assessors will reconvene for a further moderation session to agree a consensus position around who should receive funding.

## 8.4 Down Selection – Contract conditions

The Standard Ts and Cs as set out at Annex 1 will form the basis of the new Phase 2 Contract. The only anticipated changes relate to required insurance levels and the attachment of completed Feasibility Studies and Down Selection cost breakdown submissions as additional Contract Schedules. Please see **Schedule 1 to Annex 1** for a more detailed summary.

# 9. Financial Eligibility and Viability

## 9.1 Financial Eligibility

Applicants are required to complete the relevant tabs of the BEIS Project costs breakdown form contracts (the 'Project Cost Breakdown Form') which is provided as **Annex 3** setting out their capped funding requirement to carry out the project. Applicants should only input in the specified light blue input cells and should consult guidance on completion which is embedded within the Form and can be accessed by clicking on the relevant cell.

BEIS reserves the right to exclude Applicants from the Competition where they cannot satisfactorily evidence the eligibility of costs and overheads in line with guidance provided at **Appendix 2**. Financial information should include costs for the entire project, detailing labour (including personnel day rates), material and capital equipment costs, and any travel and subsistence requirements.

BEIS can only provide funding for eligible costs and overheads incurred up to the end of the Contract.

## 9.2 Financial viability checks

### Economic and Financial Assessment of Applicants

BEIS will undertake financial viability checks on all provisionally successful Applicants. Where there is more than one organisation in the Applicant group, the required financial information (see below) should be provided for any entity who is forecast to deliver at least 25% of the Contract by value – including sub-contractors. Applicants may be asked to respond to clarification questions linked to these financial viability checks and, where relevant asked to provide satisfactory evidence of how identified financial risks are being actively managed and mitigated.

The Applicant's/Project's Financial Viability will take into account (amongst other things) whether the Applicant is able to demonstrate a robust business plan and financially sustainable business model in respect of the relevant Project. Tests of financial viability will be conducted in line with industry best practice. They may include (but are not limited to):

- whether an Applicant/Project/ultimate parent company has sufficient liquidity (it is capable of covering its short-term commitments);
- whether an Applicant/Project/ultimate parent company is financially autonomous (it is capable of covering its debt costs); and
- whether an Applicant/Project/ultimate parent company is solvent (it is capable of covering its medium and long-term commitments).

Checks will include reviewing the latest independently audited accounts filed on the Companies House database. Where a company or organisation is not required to file accounts with Companies House, other financial information will be requested to enable an appropriate financial viability review to be undertaken. This might include:

- A copy of last two years accounts as filed with Companies House; or
- A copy of last two years accounts – if not obliged to file with Companies House; or
- 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 company or organisation
- 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).

For Applicants bidding as a newly constituted company, BEIS will review letters of support from relevant partners / investors and may also review the financial statements of each partner.

### **Parent Company Guarantees and other potential mitigations**

Where an Applicant is a special purpose vehicle (SPV), BEIS will require a parent company guarantee(s) (PCG) from relevant companies or organisations. BEIS shall accept this as satisfying the applicant's financial viability checks subject to the necessary financial viability checks being performed on the parent company to BEIS' satisfaction.

The Department may also, at its discretion require PCGs or other satisfactory mitigations to be put in place in relation to other provisionally successful Applicants, ahead of Contract award. Acceptable mitigations may include, but are not limited to those set out in Section 3 to the Government and Commercial Function's [Assessing and monitoring the economic and financial standing of suppliers guidance note May 2021.pdf](https://publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/100000/Assessing_and_monitoring_the_economic_and_financial_standing_of_suppliers_guidance_note_May_2021.pdf) ([publishing.service.gov.uk](https://publishing.service.gov.uk)).

**Where provisionally successful applicants are unable to provide mitigations to BEIS' satisfaction they will be excluded from the Competition.**

### **Financial Viability checks Post-Contract Award**

During both the Phase 1 and Phase 2 Contract period, successful Projects must provide to BEIS all subsequent year end accounting data – audited or alternative as set out above – within 30 days of accounts being issued, and this will be subject to the same scrutiny as set out above. Successful Applicants should also immediately notify BEIS, in writing, where they believe, on the balance of probabilities, that they will not be able to access sufficient match funding to complete the Project.

BEIS reserves the right to cease payment of allocated SBRI funding where it has reasonable grounds to believe that the successful Applicant is unlikely to be able to complete delivery of the Contract.

### **Contractual payments**

BEIS will not make payments in advance of need and typically makes Contract payments in arrears on satisfactory completion of agreed milestones and deliverables. BEIS therefore anticipates making payment after delivery of Feasibility Studies that meets all relevant quality content and format requirements as detailed at **Section 3** to this document.

BEIS understands, however, the difficulties which small businesses may face when financing this type of project. BEIS will explore cash flow issues with the Applicant as part of developing the financial and milestone profile during the Contract Award process. BEIS will offer flexibility in terms of profiles and payments, within the confines of the requirements for use of public money within which it operate.

# 10. Notifications and Publication of results

## 10.1 Notification

Applicants will be informed by email whether their application has been successful.

BEIS may wish to publicise the results of the scheme which may involve engagement with the media. At the end of the application and assessment process, BEIS may issue a press release or publish a notice on its website. These public documents may, for example, outline the overall results of competitions and describe some of the projects to be funded.

**Confidentiality request:** Some organisations may want their activities to remain confidential and you will be given a chance to opt out of any involvement in media relations activity and further case study coverage of projects, should you see this as being absolutely necessary. However, the public description of the Project you provide in your application will be made available in the public domain if your application is successful, and you are not able to opt out of the project description being published. As such, you must provide a short description (Maximum 500 words) of your proposed project.

In addition, all funded projects must include reporting and dissemination milestones – agreed with BEIS - as part of their project Deliverables, determined after the award of the contract (see **Section 3** for further information on Deliverables). Information about all contract awards will also be published on Contracts Finder.

Any organisation that wishes to publicise its project, at any stage, must contact the Competition Project Manager or their Project Monitoring Officer at BEIS and obtain written permission before doing so.

## 10.2 Publication of results

SBRI involves a high degree of risk-benefit sharing. In return for provision of funding and non-financial support during project activities, BEIS expects to be able to use and share the results and outputs of the project activities with other Government Departments, industry and other stakeholders to further understanding and progress technology development and deployment.

BEIS also wishes to publicise details of the award recipients. Therefore, on or after issuing the SBRI contract agreement, BEIS will publish the following information:

- Identity of the participant and its partners.
- Project summary information including aims and expected outcomes of the project and technology area.

- Total award value.

Following completion of the funded projects, BEIS will publish on its website a summary of the funded activities and the outcomes achieved. This will include a final summary report from each project.

BEIS may also revisit projects at a later date and publish an evaluation report for the scheme as a whole.

BEIS however recognise the need to maintain confidentiality of commercially sensitive information. BEIS will consult Applicants regarding the nature of information to be published, in order to protect commercially sensitive information. The notice of the award on Contracts Finder will also include the value of the contract.

# 11. Reporting

## 11.1 Reporting, Knowledge Sharing and Evaluation Requirements

Project monitoring and reporting is required to track Project progress and ensure payments are made according to a schedule of milestones to be agreed with selected Projects. This reporting will be in confidence to BEIS and its technical advisers and will not be published. Any proposed changes to schedules or Project plans will need to be discussed with BEIS and Applicants should expect significant interaction with the team during the project.

Project teams will be asked to attend fortnightly briefing calls with BEIS and its technical advisers, though no formal reporting will be required at these sessions.

Project teams will be required to meet with their Monitoring Officer at least once per month to discuss project progress and highlight successes, issues and risks. As part of monthly reporting, Projects will be expected to work with BEIS appointed Monitoring Officers to provide **Monthly Project Updates** via a standardised proforma, agreed at the Contract Award Stage. As a minimum this will include:

- Summary overview of progress against key work packages
- Progress against milestone Deliverables
- Risks, and approach to mitigation.

## 11.2 Key Performance Indicators

BEIS requires all funded projects under the Net Zero Innovation Portfolio (NZIP) to report on key performance indicators (referred to as NZIP KPIs) to provide a consistent approach to reporting evidence, and to track and measure key outputs, outcomes and impacts. The evidence collected is used to demonstrate the impact of the NZIP on achieving the government's Net Zero ambitions and is necessary to be able to run future competitions.

Project lead organisations will be required to report on KPIs at various intervals for each project, including at the start of the project, during project delivery, at project closure and for three years after project closure. BEIS will supply funded projects with a reporting template to complete at set intervals, and recipients are expected to return the template to their Monitoring Officer upon completion, who will review and quality assure it. At project start, your BEIS Monitoring Officer will provide further details about the calculation of these KPIs and assist with the initial completion and measurement.

Please note that it may at times be necessary to make changes to the NZIP KPIs, data collection modes or frequencies. We will endeavour to keep all changes to a minimum and communicate any implications to you via the Monitoring Officers in advance of collection.

Beyond these NZIP KPIs, BEIS conducts independent evaluations of many of its programmes. The funded project organisation will be required to collaborate in reasonable evaluation activities, including, but not limited to, providing programme-specific KPIs, completing questionnaires or surveys, participating in interviews and workshops, communicating the learning from the project, providing costs/sales data and elaboration of any of the measures covered in the NZIP KPIs.

BEIS will be collecting the following KPIs, with data provided by Monitoring Officers marked in italics. Not all data will be collected annually.

**Table 11.1: NZIP KPIs**

<b>KPI</b>	<b>KPI description</b>	<b>Metrics</b>
KPI 1	<i>Number of NZIP projects supported</i>	<i>Project start and completion.</i>
KPI 2	<i>Number of NZIP projects that have met objectives</i>	<i>Extent to which project objectives have been met to date</i> <i>Change in objectives and reasons for change</i>
KPI 3	<i>Number of organisations supported to deliver the project</i>	<i>Lead partner delivering the project: name, organisation size and number and type of jobs supported within the organisation to deliver the project.</i> <i>Other partner organisations involved in delivering the project as named on the Contract or Grant: name, organisation size and number and type of jobs supported within the organisation(s) to deliver the project.</i>
KPI 4	Number of active contractual and non-contractual business relationships supported	<ul style="list-style-type: none"> <li>• Number of contractual relationships: name and type of contractual relationship.</li> <li>• Number of informal non-contractual business relationships: name and type of non-contractual relationship</li> <li>• Extent to which your organisation expanded its network of business relationships as a result of the project</li> </ul>
KPI 5 *	Advancement of Low Carbon Solutions – Technology Readiness Levels	Covers both current and anticipated levels (e.g. by project closure or by a specified future date)
KPI 7i	Reduction in the unit cost of energy	Including: <ul style="list-style-type: none"> <li>• Capital and operating cost reduction</li> <li>• Calculation of potential benefits in 2032</li> <li>• Alternative approaches are available where above data is not available</li> </ul>

KPI 7ii	Increase in energy efficiency / Reduced energy demand	Including: <ul style="list-style-type: none"> <li>• Reduction in energy used in MWh</li> <li>• Calculation of potential benefits in 2032</li> <li>• Alternative approaches are available where above data is not available</li> </ul>
KPI 7iii	Increase in energy system flexibility	Including: <ul style="list-style-type: none"> <li>• The peak power which could be controlled through the flexibility technology (MW)</li> <li>• The duration of the controlled load, generation or storage capacity (hours)</li> <li>• Calculation of potential benefits in 2032</li> </ul>
KPI 8 **	Steps towards commercialisation of the innovation including sales in the UK and internationally	Including: <ul style="list-style-type: none"> <li>• Steps towards commercialisation incl. licensing agreements, commercial partnerships, product certifications etc. if taken and national/international standards passed</li> <li>• UK and International sales secured and their value.</li> </ul>

\* BEIS expects successful Projects to take the existing technology from TRL 3 to 5 across Phase 1 and from TRL 5 to 6 across Phase 2. A full description of TRL levels can be found at **Appendix 1**.

\*\* BEIS will measure this outcome (KPI 8) over the longer term – but related targets and attainment will not form part of the assessment of the tender, nor of satisfactory completion of the contract itself. BEIS will expect the successful Applicant to fulfil an obligation however, to submit an update of progress on this KPI at least annually, for a period of three to five years following completion.

## 11.3 Evaluation requirements

Successful Applicants will also be required to participate in and facilitate an evaluation of this programme, which will be delivered by an external contractor commissioned by BEIS. The specific role of the external evaluator and scope of the evaluation is yet to be confirmed, though it is likely to include qualitative and quantitative data collection and analysis in order to assess programme delivery, impact and value for money and identify lessons learned. Projects will be required to participate in and contribute to the evaluation activities, both during and after final contract payments, including by providing relevant primary and secondary data to the evaluation contractor and by participating in research interviews.

## 12. Intellectual Property

The proposed arrangements for intellectual property rights (IPR) and exploitation of IPR are set out in the contract terms and conditions for this competition, in **Annex 1**

Subject to the requirements of **Conditions 27 and 28** of the standard terms and conditions (Annex 1) Applicants will retain ownership of the intellectual property generated from the project. Applicants are required to identify and record any such intellectual property and to protect patentable knowledge in accordance with **Condition 28** of the standard terms and conditions. If within five years of its creation Applicants have not commercially exploited intellectual property generated from the work, then in line with **clause 28 (5)** of the standard terms and conditions, BEIS may request the intellectual property be assigned to BEIS.

Consistent with the good management of Intellectual Property Rights and the continued agreement of the Authority, successful Applicants shall be expected to promote the dissemination of the arising Intellectual Property.

## 13. Feedback, Re-application and Right of Appeal

A short summary of key feedback regarding the applications will be provided to all Applicants. This feedback will be based on the comments of technical assessors. BEIS provide comments where an Applicant is considered ineligible in light of financial viability checks. No additional feedback will be provided and there will be no further discussion on the application.

The feedback from the assessors is intended to be constructive. Comments are not a checklist of points which must be answered or argued in a resubmitted application as the assessors/requirements may be different and it is your decision as to whether you act on the suggestions made.

BEIS' decision regarding any application is final and no appeal process is in place, so it is important that you make any points you wish to make clearly and concisely in the Application Form.

# 14. Confidentiality and Freedom of Information

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 through 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. Where any request is made to BEIS under the FOIA for the release of information relating to any project or Applicant, which would otherwise be reasonably regarded as confidential information, BEIS will notify you of the request as soon as we become aware of it.

If you wish to designate information supplied as part of your tender as confidential, or 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).

As part of the application process all Applicants are asked to submit a public description of the project. This should be a public facing form of words that adequately describes the project but that does not disclose any information that may impact on Intellectual Property (IP), is confidential or commercially sensitive. The titles of successful projects, names of organisations, amounts awarded, and the description of the project may be published once the award is confirmed as final.

Additionally, the Government’s transparency agenda requires that tender documents (including competition guidance 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(s) once the procurement is complete. By submitting a tender, you agree that your participation in this procurement may be made public. Aside from the public description of your project (see above), 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.

## 15. Terms and Conditions

The Department's Standard Terms and Conditions of Contract as amended for the purposes of this Competition will apply to this contract (**see Annex 1**).

# 16. Further Instructions to Applicants

The Department reserves the right to amend the enclosed Competition documents at any time prior to the publication of supplier questions and answers on 30 June 2022. Any changes are most likely to include editorial errors and include FAQs from questions asked from stakeholders/applications before **14:00 23 June 2022**. Any such amendment will be numbered, dated and issued on the Programme website as well as on the [Contracts Finder Website](#). 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 applicants during any stage of the process. Applicants should also note that, in the event a proposal is considered to be fundamentally unacceptable on a key issue, regardless of its other merits, that proposal may be rejected. By issuing this Competition document, the Department is not bound in any way and does not have to accept the lowest, or any, proposal and reserves the right to accept a portion of any proposal unless the tenderer expressly stipulates otherwise.

## 16.1 Application checklist

To submit an application for this Competition, you must complete the online registration form, available [here](#), and use the resulting password to complete your online application form.

Please answer all questions on the application form fully.

Please download from your application form, complete and upload to your application form the following documents. All these documents are also available on the Programme website.

- Project Cost Breakdown Form
- Risk proforma
- Signed Declarations:
  - Declaration 1: Signed Statement of Non-Collusion
  - Declaration 2: Signed Form of Bid
  - Declaration 3: Signed Conflict of Interests statement
  - Declaration 4: Code of Practice for Research
  - Declaration 5: UK GDPR Assurance Questionnaire
  - Declaration 6: Signed Standard Selection Questionnaire, including addressing the BEIS Exclusion Grounds

## 16.2 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.

## 16.3 Data Protection and Security

The successful Applicant must comply with all relevant Data Protection Legislation, as defined in the terms and conditions applying to this Competition. A guide to the UK General Data Protection Regulation published by the Information Commissioner's Office, can be found [here](#).

Annex 2 contains a "The General Data Protection Regulation Assurance Questionnaire for Contractors" (Declaration 5) to evidence the extent of readiness. The Authority may ask the Contractor to provide evidence to support the position stated in the questionnaire. The Authority may require the successful Applicant to increase their preparedness where the Authority is not satisfied that the Applicant will be in a position to meet its obligations under the terms and conditions. If the Applicant fails to satisfy the Authority that it will be in a position to meet its obligations under the terms and conditions in the event that the Applicant is successful, the Authority reserves the right to exclude the Applicant from this procurement.

## 17. Non-Collusion

No application will be considered for acceptance if the Applicant has indulged or attempted to indulge in any corrupt practice or canvassed the tender with an officer of the Department. Annex 2 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 Supplier has indulged or attempted to indulge in such practices and the tender is accepted, then grounds shall exist for the Authority to terminate the contract and claim damages from the successful contractors. You must not:

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

# Appendix 1 – Technology Readiness Levels (TRLs)

Technology readiness levels are an indication of the maturity stage of development of a technology on its way to being developed for an application or product. The table below defines TRLs 1 to 9.

TRL	Description
<b>Research and Development</b>	
TRL 1 – Basic Research	Scientific research begins to be translated into applied research and development.
TRL 2 – Applied Research	Basic physical principles are observed, practical applications of those characteristics can be 'invented' or identified. At this level, the application is still speculative: there is not experimental proof or detailed analysis to support the conjecture.
<b>Applied research and development</b>	
TRL 3 – Critical Function or Proof of Concept Established	Active research and development is initiated. This includes analytical and laboratory studies to physically validate analytical predictions of separate elements of the technology. Examples include components that are not yet integrated or representative.
TRL 4 – Laboratory Testing/Validation of Component(s)/Process(es)	Basic technological components are integrated to establish that the pieces will work together.
TRL 5 – Laboratory Testing of Integrated/Semi-Integrated System	The basic technological components are integrated with reasonably realistic supporting elements so it can be tested in a simulated environment.
<b>Demonstration</b>	
TRL 6 – Prototype System Verified	Representative model or prototype system is tested in a relevant environment.
TRL 7 – Integrated Pilot System Demonstrated	Prototype near or at planned operational system, requiring demonstration of an actual system prototype in an operational environment.
<b>Pre-commercial deployment</b>	
TRL 8 – System Incorporated in Commercial Design	Technology is proven to work -actual technology completed and qualified through test and demonstration.
TRL 9 – System Proven and Ready for Full Commercial Deployment	Actual application of technology is in its final form -technology proven through successful operations.

# Appendix 2 - Eligible and Ineligible Costs

## General Requirements

**Timing:** BEIS will only provide the funding to cover eligible costs incurred and defrayed in the period between the project start date specified in the contract, and the deadline specified in the contract for completion of the project.

**Who can incur eligible costs:** The definition of eligible costs includes the Applicant's own costs, eligible costs incurred by consortium members and eligible costs incurred by companies sub-contracted to the Applicant or consortium members as defined in the application or subsequent agreements between the successful Applicant and BEIS.

**Non-sterling costs:** Costs must be denominated in GB pounds. If relevant, Applicants should indicate where conversion has been made to GB pounds from other currencies and indicate the conversion rate and assumptions used.

**Research and development costs** Your application must have at least 50% of the Contract value attributed directly and exclusively to research and development services.

## Eligible Costs

Directly incurred costs:

These are costs that are specific to the project that will be charged to the project as the amount spent, fully supported by an audit record justification of a claim. They comprise:

- Labour costs for all those contributing to the project, broken down by individual
- Material costs (including consumables specific to the project)
- Capital equipment costs\*
- Sub-contract costs
- Travel and subsistence

\*Under SBRI rules, BEIS will only pay full capital equipment costs for equipment that is specialised and bespoke enough that it only has a value for the duration of the project. For capital equipment that has a value at the end of the contract, BEIS will only pay depreciation costs for the duration of the project, in line with your

accounting policy for depreciation. For example, if a project budget includes the cost of purchasing six new laptops, it is highly likely that these will still have value at the end of the project. As such, BEIS would only pay depreciation costs on these laptops across the duration of the project.

### **Indirect costs:**

Indirect costs should be charged in proportion to the amount of effort deployed on the project. Applicants should calculate them, using their own cost rates. They may include:

- General office and basic laboratory consumables
- Library services / learning resources
- Typing / secretarial
- Finance, personnel, public relations and departmental services
- Central and distributed computing
- Overheads

**BEIS will not normally pay overheads of over 50%, and any overheads above this amount will need to be fully justified.**

### **Ineligible Costs**

Under no circumstances can costs for the following items be claimed:

- Commercialisation activities
- Profit (i.e. Applicants should not include profit for themselves or the other project team members within indirect costs or include it as a separate project cost)
- Profit on contractors (i.e., where contractors are used in key posts, these contractors should be paid at the standard market rate)
- Contingency / Contingent costs
- Protection of IPR (including patent costs)
- For activities of a political or exclusively religious nature
- In respect of costs reimbursed or to be reimbursed by funding from other public authorities or from the private sector
- In connection with the receipt of contributions in kind (a contribution in goods or services as opposed to money)
- To cover interest payments (including service charge payments for finance leases)

- For the giving of gifts to individuals, other than promotional items with a value no more than £10 a year to any one individual
- For entertaining (entertaining for this purpose means anything that would be a taxable benefit to the person being entertained, according to current UK tax regulations)
- To pay statutory fines, criminal fines or penalties
- In respect of VAT that you are able to claim from HM Revenue and Customs.

# Appendix 3 - Exclusion Grounds

## Mandatory Exclusion Grounds

Public Contract Regulations 2015 R57(1), (2) and (3)

Public Contract Directives 2014/24/EU Article 57(1)

### **Participation in a criminal organisation**

Participation offence as defined by section 45 of the Serious Crime Act 2015

### **Conspiracy within the meaning of**

- section 1 or 1A of the Criminal Law Act 1977 or
- article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983

where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime;

### **Corruption**

Corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;

### **The common law offence of bribery;**

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

### **Fraud**

Any of the following offences, 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:

- the common law offence of cheating the Revenue;
- the common law offence of conspiracy to defraud;
- fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;

- fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
- fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;
- an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
- destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;
- fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;
- the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;

### **Terrorist offences or offences linked to terrorist activities**

Any offence:

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

### **Money laundering or terrorist financing**

Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002

An offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996

Child labour and other forms of trafficking human beings

An offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;

An offence under section 59A of the Sexual Offences Act 2003

An offence under section 71 of the Coroners and Justice Act 2009;

An offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994

An offence under section 2 or section 4 of the Modern Slavery Act 2015

Non-payment of tax and social security contributions

Breach of obligations relating to the payment of taxes or social security contributions that has been established by a judicial or administrative decision.

Where any tax returns submitted on or after 1 October 2012 have been found to be incorrect as a result of:

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

### **Other offences**

Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales and Northern Ireland

Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland

### **Discretionary exclusions**

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

Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law (as retained in UK law in accordance with Section 4 of the EU Withdrawal Act 2018 (as amended by the EU (Withdrawal Agreement) Act 2020)), national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Directive (see copy below) as amended from time to time; including the following:-

Where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years.

In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination.

In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).

Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;

Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;

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

### **Bankruptcy, insolvency**

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

### **Grave professional misconduct**

Guilty of grave professional misconduct

### **Distortion of competition**

Entered into agreements with other economic operators aimed at distorting competition

### **Conflict of interest**

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

Been involved in the preparation of the procurement procedure

### **Prior performance issues**

Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or

a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions.

### **Misrepresentation and undue influence**

The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection, or award.

### **Additional exclusion grounds**

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

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

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

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

### **Consequences of misrepresentation**

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

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

If there is a conviction, then the company must be excluded from procurement for five years under reg. 57(1) of the PCR (subject to self-cleaning).

# Appendix 4 – Completion of Project Cost Breakdown Form

## Overview

The BEIS Project Cost Breakdown Form is a standard template used to capture costs and overheads to inform multiple procurement competitions of varying size and scope. As a result, whilst it contains multiple green input tabs, not all will require completing, particularly for lower value or less complex procurements.

### Flex SEDR Competition – Mandatory input tabs for all Applicants

Based on project requirements as detailed at **Section 1.3** and **Section 3**, Applicants must **as a minimum**, complete the following tabs:

#### Labour & Overhead Costs tab

For all project team members for whom the Applicant wishes to recover costs or overheads they must complete all light blue input cells (columns C,E,G,I and M) following the example format provided at Row 18.

#### Project Quarterly Breakdown tab

At columns H and I Applicants should provide a quarterly profile for each Cost or Overhead category where £ amounts have been entered. Please note the FY22-23 totals at column L must equal the equivalent total on the 'Summary' tab – Thus the 'Total Labour costs' figure at cell L10 of the Project Quarterly Breakdown tab must equal the 'Total Labour Costs, exc Overheads' figure at cell E17 of the 'Summary' tab.

### Flex SEDR Competition – Other potential input tabs

Applicants intending to claim eligible Travel and Subsistence Costs must complete the relevant blue input fields in the **Travel & Subsistence tab**.

Applicants intending to utilise one or more Sub-Contractors must complete the relevant blue input fields in the **Sub-Contract Costs tab**.

For consortia applications, each Partner must complete the relevant light blue input cells in the **Partner Breakdown tab**.

Applicants intending to claim for other costs should complete the relevant light blue input cells in either the **Material Costs, Capital Equipment or Other Costs tab**. light

blue. Given the anticipated desktop nature of work associated with production of the Feasibility Reports, this should include full justification for costs being claimed.

## Appendix 5 – Accelerator Support for SMEs

### Overview

The Accelerator Support for SMEs offers acceleration support to applicants that successfully progress to Phase 2: Development, and meet the definition of Small & Medium Enterprise (SME) (Table A5.1). This is highly recommended for SME SBRI awardees to help develop their business. This Acceleration Support is 100% funded by BEIS. This support will focus on helping the applicant to prepare commercial plans and actions that will increase the chance of successfully bringing the innovation to market or reduce the time to market.

**Table A5.1 Categories for business size definitions - Summary**

<b>Company Category</b>	<b>Staff Headcount</b>		<b>Turnover</b>		<b>Balance Sheet Total</b>
Medium	<250 people	<b>AND</b>	≤£45m	<b>OR</b>	≤£39m
Small	<50 people	<b>AND</b>	≤£9m	<b>OR</b>	≤£9m
Micro	<10 people	<b>AND</b>	≤£2m	<b>OR</b>	≤£2m

### Nature of support offered

The starting point for acceleration support is to consider the current stage of commercial preparation and identify (with the applicant) critical next steps, business strengths and gaps, benchmarked for the stage of the individual business across all key Acceleration Support focus areas:

- Market engagement and proposition
- Strategy and sales
- Team and board
- Funding and investment
- Product-service design, development and launch
- Business processes and controls

Specialist advisers will be assigned by BEIS to support the company in the development of the appropriate knowledge and skills. Three types of support will be available dependant on company need:

1. Tailored support, including coaching and specialist support across the six focus areas
2. Group training and learning resources, including sector specific masterclasses and techno-market workshops

3. Access to industry and finance networks, providing companies with investor engagement opportunities, pitch training sessions, facilitated market engagement and networking opportunities.

All SME-led proposals that are awarded funding and wish to receive Acceleration Support will need to participate in an Acceleration Support Planning meeting. This planning session will be conducted by The Carbon Trust who have been appointed to deliver Acceleration Support Services on behalf of BEIS. Following the planning meeting an acceleration plan will be created outlining the task delivery plan. These plans will be bespoke and based on company needs identified.

### **Accelerator Support on SBRI-funded projects**

BEIS have historically offered Acceleration Support to help grant recipients achieve maximum commercial impact from the grant. From the experience of the Energy Entrepreneur's Fund (EEF) scheme managed by BEIS, there is a clear distinction between projects that received Acceleration Support and those companies who were high-scoring applications but did not receive funding and Acceleration Support, through the EEF scheme.

It is highly recommended that SBRI recipients take up the offer of Acceleration Support Services and co-operate with both the Acceleration Planning Session and the Acceleration Manager, who will oversee the delivery of the acceleration support. However, unlike the EEF scheme, receiving the identified acceleration support is not a condition of the SBRI contract award.

Participants will also be asked to collaborate in monitoring and evaluation activities and to provide feedback on support provided through the programme.



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