**INVITATION TO TENDER**

|  |  |
| --- | --- |
| Title: | National Buildings Database |
| Tender Reference Number: | prj\_1821 |
| Deadline for Responses: | 21st July 2023 (2:00 pm) |

Date: 5th June 2023

The Department for Energy Security and Net Zero (referred throughout these documents as “DESNZ” or the “Department”) wishes to commission a project to develop a National Buildings Database.

Enclosed are the following sections:

* Section 1 (page 6) Instructions on tendering procedures
* Section 2 (page 11) Specification of Requirements
* Section 3 (page 23) Further information on tender procedure
* Section 4 (page 26) Declarations to be submitted by the tenderer;

Statement of non-collusion

Form of tender

Conflict of interest

Standard Selection Questionnaire

The General Data Protection Regulation Assurance Questionnaire for Contractors

Code of Practice for Research

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

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

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

I look forward to receiving your response.

Yours sincerely,

Name: André Neto-Bradley

**Privacy Notice**

This notice sets out how we will use your personal data, and your rights. It is made under Articles 13 and/or 14 of the General Data Protection Regulation (GDPR).

**YOUR DATA**

We will process the following personal data:

Names and contact details of employees involved in preparing and submitting the bid; names and contact details of employees proposed to be involved in delivery of the contract; names, contact details, age, qualifications and experience of employees whose CVs are submitted as part of the bid.

*Purpose*

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

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

*Legal basis of processing*

The legal basis for processing your personal data is processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the data controller, such as the exercise of a function of the Crown, a Minister of the Crown, or a government department; the exercise of a function conferred on a person by an enactment; the exercise of a function of either House of Parliament; or the administration of justice.

*Recipients*

Your personal data will be shared by us with other Government Departments or public authorities where necessary as part of the tender exercise. We may share your data if we are required to do so by law, for example by court order or to prevent fraud or other crime.

*Retention*

All tenders will be retained for a period of 6 years from the date of contract expiry, unless the contract is entered into as a deed in which case it will be kept for a period of 12 years from the date of contract expiry.

**YOUR RIGHTS**

You have the right to request information about how your personal data are processed, and to request a copy of that personal data.

You have the right to request that any inaccuracies in your personal data are rectified without delay.

You have the right to request that any incomplete personal data are completed, including by means of a supplementary statement.

You have the right to request that your personal data are erased if there is no longer a justification for them to be processed.

You have the right in certain circumstances (for example, where accuracy is contested) to request that the processing of your personal data is restricted.

You have the right to object to the processing of your personal data where it is processed for direct marketing purposes.

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

**INTERNATIONAL TRANSFERS**

Your personal data will not be processed outside the UK/EEA.

**COMPLAINTS**

If you consider that your personal data has been misused or mishandled, you may make a complaint to the Information Commissioner, who is an independent regulator. The Information Commissioner can be contacted at:

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF

0303 123 1113

casework@ico.org.uk

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

**CONTACT DETAILS**

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

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

**Section 1**

**Instructions and Information on Tendering Procedures**

Invitation to tender for: National Buildings Database

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# Indicative Timetable

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

|  |  |
| --- | --- |
| **Tender Timeline** | **Date** |
| Advert and full invitation to tender issued | 5th June 2023 |
| Deadline for questions relating to the tender | 16th June 2023 (12:00noon) |
| Responses to questions published  | 21st June 2023 |
| Deadline for receipt of tender | 21st July 2023 (2:00pm) |
| Invite suppliers for bid clarification(if needed) | 4th August 2023 |
| All suppliers alerted of outcome | 10th August 2023 |
| Ten day standstill | 11th August to 21st August 2023 |
| Contract award on signature by both parties | 25th August 2023 |
|  |  |
| Contract start date | 28th August 2023 |

The contract is to be for a period of approximately 18 months unless terminated or extended by the Department in accordance with the terms of the contract. Please note that this project must complete and be delivered by the end of March 2025. No extensions past this date will be possible.

# Procedure for Submitting Tenders

The maximum page limit for tenders is 24 (excluding declarations, pricing schedule CVs, and risk register), using standard 2.54cm margins on each side, Arial font size 11.

To apply for this tender please register on the following website

https://beisgroup.ukp.app.jaggaer.com/. For any registration queries, please contact the Jaggaer Helpdesk on 08000 698 632 or email customersupport@jaggaer.com.

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

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

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

The Department shall have the right to disqualify you from the procurement if you fail to fully complete your response, or do not return all of the fully completed documentation and declarations requested in this ITT. The Department shall also have the right to disqualify you if it later becomes aware of any omission or misrepresentation in your response to any question within this invitation to tender. If you require further information concerning the tender process, or the nature of the proposed contract, email builtenvironmentresearch@beis.gov.uk. All questions should be submitted by 16th June 2023 (12:00 noon); questions submitted after this date may not be answered. Should questions arise during the tendering period, which in our judgement are of material significance, we will publish these questions with our formal reply by the end of 21st June 2023 and circulate – unnamed - to all organisations that have expressed an interest in bidding. All contractors should then take that reply into consideration when preparing their own bids, and we will evaluate bids on the assumption that they have done so.

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

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

# Conflict of Interest

The Department’s Mid-Tier Contract terms and conditions of contract include reference to conflict of interest and require contractors to declare any potential conflict of interest to the Secretary of State.

For research and analysis, conflict of interest is defined the presence of an interest or involvement of the contractor, subcontractor (or consortium member) which could affect the actual or perceived impartiality of the research or analysis.

Where there may be a potential conflict of interest, it is suggested that the consortia or organisation designs a working arrangements such that the findings cannot be influenced (or perceived to be influenced) by the organisation which is the owner of a potential conflict of interest. For example, consideration should be given to the different roles which organisations play in the research or analysis, and how these can be structured to ensue maintain an impartial approach to the project is maintained.

The process by which this is managed in the procurement process is as follows:

1. **During the bidding process, organisations may contact DESNZ to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.** Any responses given to individual organisations or consortia will be published on contract finder (in a form which does not reveal the questioner’s identity). Any organisation thinking of submitting a bid, should share their contact details with the staff member responsible for this procurement, to ensure they receive an update when any responses to questions are published.
2. **Contractors are asked to sign and return ‘Declaration 3’ to indicate whether or not any conflict of interest may be, or be perceived to be, an issue.** If this is the case, the contractor or consortium should give a full account of the actions or processes that it will use to ensure that conflict of interest is avoided. In any statement of mitigating actions, contractors are expected to outline how they propose to achieve a robust, impartial and credible approach to the research.
3. **When tenders are scored, this declaration will be subject to a pass/fail score**, according to whether, on the basis of the information in the proposal and declaration, there remains a conflict of interest which may affect the impartiality of the research.

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

# Evaluation of Responses

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

# Terms and conditions applying to this Invitation to Tender

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

Please read the Procurement Guidance on GDPR and Cyber-Security. If the Contractor will be a Joint Data Controller, the data protection provisions contained in the Mid-Tier Contract Terms and Conditions will be replaced by a Data Sharing Agreement drafted by Government Legal Department. If this applies to your procurement, the change from the standard data protection provisions should be described in this section of the Invitation to Tender.

If the Contractor will transfer personal data outside of the European Economic Area or the countries highlighted in Procurement Guidance on GDPR and Cyber-Security, please inform your Procurement Business Partner, who will highlight the changes which will need to be made to the standard data protection provisions.

# Further Instructions to Contractors

The Department reserves the right to amend the enclosed tender documents at any time prior to the deadline for receipt of tenders. Any such amendment will be numbered, dated and issued by 22nd June 2023. Where amendments are significant, the Department may at its discretion extend the deadline for receipt of tenders.

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

# Checklist of Documents to be Returned

* Proposal (maximum 24 pages)
* Annex A: Pricing schedule
* Declaration 1: Statement of non-collusion
* Declaration 2: Form of Tender
* Declaration 3: Conflict of Interest
* Declaration 4: Standard Selection Questionnaire
* Declaration 5: The General Data Protection Regulation Assurance Questionnaire for Contractors
* Declaration 6: Code of Practice

**Section 2**

**Specification of Requirements**

Invitation to tender for: National Buildings Database

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# Introduction and summary of requirements

DESNZ is looking for a contractor to undertake a research project to develop a database of the building stock across England, Wales and Scotland. This research project is needed to deliver a new evidence base to inform the department’s understanding and analytical capabilities on decarbonisation options in the non-domestic building stock.

The overarching aim of this project is to build and deliver a database of the whole building stock with high-level of detail on the non-domestic stock. This will include:

* A one-to-one representation of every building in the country (as identified by national datasets);
* Information including but not limited to the building location, geometry, construction, end-uses, energy consumption;
* Conducting sector specific surveys for non-domestic sectors to gather additional data for validation and completion of the database;
* Development of methods for regular updates and synthetic sample generation to ensure longevity and widespread utility of the database;
* Clear, reproducible, guidance on using and maintaining this resource.

The project will involve collecting information using different sources and methods. Physical building surveys are expected to verify data collected from other sources. The survey sample size should be such that suitable confidence can be had in achieving the aims of the project aims, with the number of surveys determined by bidders in accordance with their approach.

Given the range of skills required to deliver this piece of work to a high standard across a diverse sector, consortium bids are welcome although a lead contractor should be identified as the main contact point.

# Background

The UK has committed to achieving Net Zero by 2050, and delivering on this ambition will require extensive and systematic change and reduction in emissions across all sectors. This includes emissions associated with buildings, both domestic and non-domestic, which account for approximately 30% of UK GHG[[1]](#footnote-2).

The Heat and Buildings Strategy[[2]](#footnote-3) recognises that decarbonising buildings is central to meeting our Net Zero goals and sets out a holistic roadmap to decarbonise heating and energy use in buildings. This is complemented by the Industrial Decarbonisation Strategy (IDS)[[3]](#footnote-4) promoting fuel switching as well as the pursuit of energy efficiency, with a focus on heat recovery and clustering opportunities. Effectively implementing the ambitions and opportunities within these strategies for non-domestic buildings requires a granular understanding of the building stock.

The challenge of decarbonising energy use in non-domestic buildings is considered one of the most complex policy areas for the department due to the broad range of building types and energy end-uses in the non-domestic building stock. This heterogeneity in typologies and end-uses requires consideration and analysis on a sector-by-sector basis. Yet despite this complexity of the non-domestic building stock, the underlying evidence and statistics available are not as comprehensive or sophisticated as those for the domestic sector.

The first phase of this project, the Non-Domestic Building Survey (NDBS), commissioned in 2021 has piloted a data modelling approach to combine existing data and resources with targeted sector specific surveys to produce a one-to-one representation of the building stock.

The pilot study in phase 1 carried out by a consortium led by UCL Consultants focused on the hospitality sector, chosen for its highly varied activities and energy uses, and successfully created a national database of every hospitality building identified by the Valuation Office Agency who collect data on virtually all buildings for assessing council tax and business rates. Phase 1 also scoped out available input data resources for the wider non-domestic stock and devised a methodology that eliminates the need for routine surveys with the potential for a live database that can regularly update as the data resources it draws upon are updated. All outputs from the now completed pilot study will be made available to the successful bidder for use in this project.

The project will roll out the approach piloted in the first phase to all other non-domestic sectors, and include a representation of domestic buildings created from existing available data. The output will be a database of the entire building stock which can enable digital twin approaches to decarbonisation policy design and analysis. In doing so this project represents an evolutionary leap in the department’s evidence base and approach to analysis on the building stock bringing the power of high resolution big data to our analysis and decision making. Crucially the information in the database will also fill key gaps in areas such as public sector buildings, and difficult to survey sectors not addressed in the department’s existing evidence base.

# Aims and Objectives

**Aim**

This project will aim to strengthen our evidence base on the building stock both domestic and non-domestic, with particular emphasis on addressing gaps in the non-domestic building stock across Great Britain. This project will also aim to enable a paradigm shift in our approach to analysis and modelling of the building stock with the department.

**Objectives**

To deliver on this the project will have the following objectives:

Build a database with a record of every building in the Great Britain (using the Valuation Office Agency records and/or Scottish equivalent to identify premises to be included).

Characterise key features (including but not limited to construction, geometry, public sector status, and activity) and energy consumption and end uses for every building in the database.

Design and recruit for targeted specific surveys to validate energy performance data and characteristics and provide evidence for assumptions to fill gaps in the database.

Develop method for ongoing updates to database, and sampling synthetic shareable datasets from the database.

Make outputs that are accessible to other government departments and external researchers.

# Scope

**Building Stock Scope**

This project will need to link existing data and carry out sector-specific surveys for the following 14 non-domestic sectors:

Shop

Office

Factory

Warehouse

Arts and Leisure

Health

Education

Sport

Community

Transport

Agriculture

Emergency

MOD

Utilities

The database is to also include simplified representation of all domestic premises identified through the Valuation Office Agency’s records with data on energy consumption, geometry, and construction matched in. Address matching method will need to be compatible with the department’s domestic NEED framework[[4]](#footnote-5).

**Geographical Scope**

This project and the database produced must cover all buildings in England, Wales, and Scotland (Great Britain).

# Methodology

The methodology for the development of this database will be based on the approach developed in the Non-Domestic Building Survey Pilot study. The successful bidder will be provided with code and methodology for data engineering and linking of existing datasets, which they will have to use. A description of the methodology developed is detailed below.

The method for design, recruitment, and analysis of survey and sector specific data collected is not prescriptively set, and bidders are free to propose their choice of approach to sector specific surveys and data collection as long as this can be justified as capable of fulfilling the role of completing & validating the information in the database. This will form a key evaluation sub-criteria for bids.

**Phase 1 Pilot Study**

*Outputs and Findings*

The pilot phase developed and applied a data modelling methodology to produce a full three-dimensional model of the building stock, with one to one representation of every non-domestic premises in England and Wales. This included additional in-depth analysis of the Hospitality sector which was the pilot study sector. Some key features of the database developed include:

* Allowing floor areas to be derived even when they are not recorded by the VOA,
* Analysis of previously unreleased Energy Performance Certificate data enabled the space devoted to different activities within a premises to be explored.
* A survey methodology was designed to collect more detailed information on buildings and business characteristics to complement the database. The survey results form a supplementary dataset rather than being integrated into the database.

**This was the first analysis of the non-domestic building stock of England and Wales, based on an assessment of individual premises data with a near 100% sample. The pilot study delivered the following key findings:**

**Composition of the building stock:** The VOA records a total non-domestic floor area of 594 million m2, although 94% of premises are smaller than 1000m2. For the largest classes of Factory, Warehouse, Office and Shop the top 10% of premises size contains over 60% of all floorspace in their classification.

**Mixed-use buildings:** 48% of all non-domestic premises share a building with other non-domestic premises, and a further 23% of non-domestic premises share a building with domestic premises. The demarcation between domestic and non-domestic premises varies across datasets. While VOA data class premises based on business activity, gas meter data are classified based on consumption, with commercial premises with lower consumption being treated as domestic and aggregated domestic supplies (for example in a large block of flats served by a single gas meter) treated as non-domestic. Within the EPC dataset, many self-catering premises, which are recorded as non-domestic in the VOA data and subject to commercial rates, are treated as domestic premises. This, combined with the number of domestic premises which share a building envelope with non-domestic premises, means it is not possible to treat domestic and non-domestic building stocks as discrete entities. The methods used in previous studies have not fully captured this complexity.

**Heritage status:** The distribution of heritage status varies across different sectors. In the Office and Hospitality and Shop classes, 50% of premises or more are either in a conservation area or in a building with listed status. The additional hurdles associated with making improvements to heritage buildings are likely to be important barriers to reducing energy consumption in these classes. Survey responses in the hospitality sector confirmed that heritage status was an important limitation for businesses considering decarbonisation strategies.

**Hospitality Sector:** The Hospitality sector contains a number of activities which are known to be valued using criteria other than floor area. Previous studies have either relied on VOA datasets for floor area for Hospitality (ND-NEED2), or inferred missing area based on measured surveys (BEES3). This study has undertaken the first mathematical estimation of missing floor area in the Hospitality class using a combination of EPC data and geometric models. The method has allowed floor area to be derived for 94% of Hospitality premises and results in a four-fold increase in floor area compared with VOA datasets, giving a total of 59.0 million m2.

**Surveys:** It was found that respondents were less likely to be able to answer more technical questions about the size of premises and there was variability in their ability to answer questions about numbers and types of equipment. They were able to provide detailed views on decarbonisation challenges facing their organisations. Survey design will follow detailed data analysis of the pilot study to facilitate more accurate and precise targeting of future surveys. Matching business names and contact details to the database of premises was challenging and resulted in a bias in the survey sample. In particular, survey respondents were more likely to occupy a whole building than the population as a whole. The depth of analysis, which is possible based on the database, means that surveys are better used for qualitative exploration of specific issues in future phases than as a method of quantifying the stock as a whole.

***Methodology Overview Schematic***



1. **Classification**

The initial step in this methodology involves the classifying all premises identified by the VOA according to the activities they contain. This step has been carried out in Phase 1 and would be available to the successful bidder.

This database is based upon the CaRB3 building classification developed by UCL[[5]](#footnote-6). This provides a complete classification of the non-domestic building stock and enables backwards compatibility with previous studies and datasets. The table below provides and approximate breakdown of premises by CaRB3 class of the building stock that will need to be represented in the database. Note that number of premises does not necessarily reflect number of buildings, and that some classes such as ‘Warehouse’ are likely to have much larger floor areas and energy consumptions.

Table 1: Breakdown of CaRB3 classes by approximate premises count

|  |  |  |
| --- | --- | --- |
| CaRB3 Class | Approximate No. of Premises (rounded) | % of Non-Domestic Stock |
| Agriculture, Countryside, Animals | 67000 | 1.7 |
| Arts and Leisure | 78000 | 2.0 |
| Commercial | 300800 | 7.8 |
| Community | 127000 | 3.3 |
| Education | 221000 | 5.7 |
| Emergency | 6900 | 0.2 |
| Excluded | 4548000 | 0.0 |
| Factory | 445000 | 11.5 |
| Health | 48000 | 1.2 |
| Hospitality | 483000 | 12.4 |
| Miscellaneous | 30000 | 0.8 |
| MoD | 5200 | 0.1 |
| Office | 593000 | 15.3 |
| Shop | 732000 | 18.9 |
| Sport | 65000 | 1.7 |
| Transport | 67000 | 1.7 |
| Utilities | 338000 | 8.7 |
| Warehouse | 274000 | 7.1 |
| *Domestic* | *30700000* | *-* |

1. **Data Linking**

Following the classification, the VOA data is linked with Ordnance Survey data to develop this into a spatial database of premises. This allows the complexity of the stock and its geographic distribution to be assessed alongside the distribution of age, building services and rural/urban split across different activity classifications.

Additional data sets are linked to the spatial database to enable specific aspects of the stock to be explored. For example, listed buildings and conservation area data allowed the heritage status and potential impact of this on ease of decarbonisation to be investigated.

*Data Sources*

The existing data sources combined in the database for England and Wales include the following:

Table 2: Description of Variables of Interest in Key Data Sources

|  |  |
| --- | --- |
| **Dataset** | **Variables of Interest** |
| Valuation Office Agency (VOA) | Floor areas, activities, UPRNs |
| Energy Performance Certificates | Building age and form, fabric characteristics, level of retrofit. |
| Display Energy Certificates | Building age and form, fabric characteristics, level of retrofit. |
| IDBR | End Uses |
| Meter Data | Energy consumption |
| Land Registry | Conservation status |
| Ordnance Survey AddressBase, Maps, etc. | Location and geometry |
| LIDAR | Building height |

The above sources have been matched for all non-domestic buildings in England and Wales. In this second phase of the project there will be a need to identify Scotland-specific versions of some of these datasets to use for this project and carry out required data engineering to link and process these in the same manner as data for England and Wales. Specifically this second phase of the project will need to consider use of the following alternatives to the datasets identified in the table above:

* Scottish Assessors Association (as an equivalent to the VOA);
* Scottish EPC register;
* Land Register of Scotland;
* In addition to alternative sources of additional meter data.
1. **Analysis**

With the spine of the database classified and existing data linked in additional in depth analysis, optimisation and modelling of energy end-uses, consumption, and geometry is carried out to increase the fidelity and detail of the database instances. This involves using algorithms developed in phase 1 (which will be made available to the successful bidder) that triage data available for key attributes and deduces which is likely to be the most reliable estimate.

Beyond optimising identification of floor area, geometry and self-contained units, analysis in this project will also need to explore methods for flagging public sector buildings using a similar triage of a range of input data to make a reliable determination, and not only relying on using the Display Energy Certificates for this purpose.

1. **Sector Specific Data Collection & Survey Validation**

Finally following linking, analysis, and modelling of existing datasets, sector specific data and surveys are used to validate the database as well as inform assumptions to fill gaps in the database. This will involve design, recruiting, and carrying out sector specific surveys and using the outputs to inform assumptions and distributions used for filling data gaps. We expect that existing data will be used to populate a field in the first instance, and only where there are gaps, unreliability, or uncertainty in this data will modelling then be used. In addition, sector specific existing datasets identified by the contractor can be used to validate and complete the dataset.

Specific methodology for surveys and sector specific data collection may vary by sector and DESNZ will be able to assist in supplying sector-specific data from the government estate.

**Indicative Work Package Breakdown**

The distinct work packages to be carried out by the main contractor relate to delivering on the project objectives and producing the required outputs. This will involve using the methodology developed in the pilot study (described above) and starting with the database outputs from the pilot study. An indicative description of activities and methods to be used within each work package is provided below. An alternative work package breakdown may be proposed as long as this will be meet the objectives and deliverables required of this project.

***WP 1*** *– Data collection design, refinement, recruitment & planning*

Design of data collection for each of the non-domestic sectors in scope for this project will need to start by reviewing and implementing recommendations & lessons learnt through the pilot sector survey in phase 1, in particular:

* + Consider how stratification of sample by size within sectors with larger buildings can be optimised within CaRB3 typologies;
	+ Reviewing distribution of energy consumption across sub-sectors to structure sample according to this;
	+ Energy and emission information pack incentive was not effective at increasing recruitment rate;
	+ Sections of questions within the survey questionnaire will need to be adapted for sector specific features, e.g. occupancy and running hours, and end-uses and equipment.

Sector specific surveys will need to be designed taking into account any other possible data available for that sector. The design must include a finalised number of surveys required, sector specific research questions, and stratified sector by sector samples and recruitment strategy

This work package will run concurrent with stakeholder engagement activities in WP 2 identify and recruit survey samples in each sector.

There will be a need for engagement with Department analysts on the sharing of survey sample recruitment details to inform other relevant research being planned by the department.

***WP 2*** *– Stakeholder engagement*

Early engagement with prominent sector organisations and relevant parent organisations/companies will need to be carried out concurrently with survey design and recruitment in WP1 to gain endorsement and facilitate recruitment within given sectors.

This will need to identify a process for gaining access to sector specific existing datasets. Data can be supplemented by onsite building surveys, however the number of surveys required should be minimised by gaining sufficient access to good quality existing data (e.g. government or commercial sources, FM contractors, industry trade bodies etc.).

Formation of the external steering group will be coordinated as part of this work package (see note at end of section).

***WP 3*** *– Data integration & engineering*

All data identified and collected for this project will need to integrated, processed, and engineering. This will involve ongoing work to implement data management and database engineering including:

* Putting in place data sharing arrangements and agreements for data access by contractor. There will be a need for data management and commercial input to ensure agreements are correctly set up. This will be a shared responsibility between the contractor and the DESNZ project manager.
* Liasing with Department’s Cloud Based Analytical System (CBAS) team to specify storage and processing requirements that will need to be in place for deliver and upload of the final database.
* Agreeing a template/format for results data with DESNZ modellers and statisticians such that the data can be used to update DESNZ internal models (the contractor will not be asked to produce a model as part of the project). Note that this will need to be agreed at the beginning of the project with the possibility for smaller iterative adjustments as the project develops.
* Providing data engineering support for sector specific modelling and survey processing as WP5 & 6 progress
* Cleaning of data and presentation of that data to DESNZ in a format useful for input into the Department’s models.

***WP 3a -*** *Data Management Plan*

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

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

Bidders should provide an outline of this plan in their bids with specific reference to how any personal data will be managed in accordance with GDPR and the requirements set out in Section 13. This should also include a description of the data flows within the project between data collected from trial participants and all organisations involved within the project.

***WP 3b*** *– Flagging Public Sector Buildings*

Building on the lessons learnt from the first phase, including the review of available data, a robust approach will be developed to reliably identify public sector buildings across all non-domestic sectors. This must cover buildings that do not have a Display Energy Certificate (DEC) as well as those with a DEC.

In order to ensure reliability of this flag in the database some form of verification and/or calibration of the approach should be undertaken with responses to the surveys carried out in WP5 and other forms of sector specific data collected.

***WP 4*** *– Methods for updating & making data accessible*

Methods will need to be developed and designed which enable DESNZ to update the database on a regular basis (annually or biannually) as well as extract synthetic shareable samples of geographic or sectoral subsets of the database. These should adopt latest developments in research in this field and data sharing & management best practice consistent with the Data Management Plan to be developed in WP3.

***WP 4a*** *– Methods for updating database*

* + Investigate and select a method to ensure data can be collected for a frequent light touch update (annual or biennial).
	+ Work closely with digital systems teams in DESNZ to ensure the database works within the government digital infrastructure.
	+ Establish methodology options for how this might be achieved and scope any costs associated with ongoing data gathering.
	+ This could include integrating with other polices and data collection schemes already live (e.g. ESOS or CCA’s) or propose standard contracts or disclosure agreements to set up ongoing data collections. This is in addition to any data sharing agreements put in place in WP3.
	+ There will be a need for DESNZ data protection and commercial input to ensure agreements are set up correctly with government as well as recommendations for a new governance framework to monitor the data access and agreements over time. This will be a shared task between the contractor and department.

***WP 4b*** *– Methods for making database accessible*

* + Investigate and select a method to make National Buildings Database outputs accessible across government as well as to external users.
	+ Determine suitable geographical scales of aggregation and synthetic data creation techniques for users’ needs.
	+ Establish workable methodology options for how this might be achieved and scope any resource requirements. (Note: Should there be any further data gathering required the contractor would not be involved and DESNZ would bear the cost).
	+ There will need to be data management and statistical disclosure input from DESNZ to ensure accessible data is GDPR and disclosure risk compliant. The contractor will have to carry out suitable intruder testing of synthetic samples to ensure these are not a disclosure risk.

***WP 5*** *– Non-Domestic Data Collection, Surveys and Data Modelling*

For each non-domestic sector identified in the scope in Section 4, data collection, surveys, and data modelling will need to be carried out to fully populate, analyse and validate the database instances for the given sector. This will build on the survey design and recruitment activities in WP1 to:

* Fully develop the sector specific data modelling methodology, including factoring in sector specific datasets, features and research questions
* For each sector carry out onsite sector-specific surveys to gather data for modelling and validation.
* For each sector use surveys to validate and inform assumptions to fill gaps in database.
* Carry out data analysis and summary reporting on each sector for DESNZ.

***WP 6*** *– Domestic Sector Data Modelling*

Data modelling of domestic buildings will focus only on matching of existing datasets to produce a simplified representation of all domestic premises which can be linked in future to other government data on domestic buildings. At a minimum this representation should for each building include:

* + - Building address/identifier
		- Building ownership
		- Floor area
		- Connection to gas grid (and location of meter)
		- Fabric construction
		- Location
		- Geometry
		- Energy consumption

.

Suitable additional existing datasets for domestic buildings will be identified in collaboration with DESNZ and used in data modelling to produce this simplified representation of all domestic buildings.

This work package will involve liaising with NEED data teams at DESNZ to ensure that domestic data records are address matched in a manner compatible with the NEED datasets.

***WP 7*** *– Handover & Documentation*

Will need to produce documentation and guidance which allows DESNZ analysts to use, maintain, and update the database with no further involvement of the contractor. The contractor will have to provide training on the use of the database to key DESNZ analysts following delivery of a draft of the database which can be used for training. Contractor will need to coordinate with DESNZ analysts to quality assure and refine the database to DESNZ computing requirements prior to final signoff for handover of the database.

**External Steering Group**

We expect all bids to include the formation of an external steering group that provides critical challenge to the project. The group should be comprised of industry experts (including those with survey expertise) and relevant academics that are able to advise the project development in an independent manner to the main contractor.

**Interaction with DESNZ**
We see a close degree of interaction with DESNZ required. Please see Section 12 for further details.

# Outputs Required

The outputs to be delivered by this project closely relate to the objectives of the project outlined in Section 3.

**National Buildings Database**

* + A relational database containing linked existing data supplemented with sector specific surveys to provide a one-to-one representation of every building in the country (as identified by the Valuation Office Agency), both domestic and non-domestic.
	+ The database will need to be entirely completed for all non-domestic sectors in scope (following the incorporation of survey insights). Key fields include but are not limited to:
		- Building use
		- Building ownership
		- Floor area
		- Public Sector flag
		- Connection to gas grid (and location of meter)
		- Fabric construction
		- Location
		- Geometry
		- Energy consumption
		- Primary heating system type
		- Secondary heating system type
		- Heat distribution system type
		- Back-up generation system
		- Grid connection capacity
	+ Provided to DESNZ in a format agreed with the central modelling team such that it can be fed into the Department’s modelling capability for both domestic and non-domestic buildings (See Section 7).

**Database user guidance, documentation, and training**

* + A user guide and documentation on the use and maintenance of the database, which will enable anyone with programming and database management skills to understand and use the database without prior knowledge of the project and how the database was produced.
	+ In addition this will also include as detailed as possible a data dictionary which includes a clear reference to where variables are located, where they have come from, and any encoding or units of values therein.
	+ There will be an interactive live training session carried out with DESNZ analysts, using the draft database to provide analysts with a good working knowledge of the database structure, and organisation such that they are able to quality assure and use the draft database before delivery of the final database.
	+ This will include description of all key variables, caveats, and data matching procedure used.
	+ This package of documentation must ensure DESNZ analysts will be able to use, develop, and analyse the dataset in-house without requiring further assistance from the contractor.

**Method for continuously updating the database**

* + Code and instructions to enable DESNZ analysts to update building records in the database when underlying datasets such as the VOA, EPC or OS data get updated.
	+ Any code required to run the data matching will be provided with the method and will be fully functional.
	+ Contractor will work closely with DESNZ to identify if any new governance arrangement relating to the core data sharing agreements will need to be put in place with sufficient notice to enable DESNZ to implement these before final delivery of the database.

**Method for generating shareable synthetic samples of database**

* + The contractor will have to deliver fully functional code/algorithm and any other required instructions to allow DESNZ analysts to generate sample of anonymous synthetic data from the database which are shareable across HMG and externally.
	+ This will involve researching appropriate use of synthetic population sampling methods to generate samples of synthetic but representative buildings for a small area of interest (Local Authority or Output Area).

**Report writing, presentations and updates**

* + A final technical summary report using a DESNZ template, with an executive summary, is required. This should provide a high-level summary of the method, snapshot of the building stock represented in the database and short deep-dives on all sectors. DESNZ intends to publish this on the Government website on completion. This report should be concise with a total length (excluding data tables) of no more than 200 pages.
		- This will include sector summaries for all sectors which will:
			* Provide succinct (5-6 page) overview of key trends and stock characteristics across 3 or 4 key sectors which account for the majority of non-domestic building sectors. This should include any additional findings from surveys in these sectors.
	+ Alongside the report there will also need to be summary data tables which break down floor area, energy end uses, and consumption by sector and sub-sector for reference use.
	+ A final slide pack summarising the approach and key findings in a way that it is understandable to an audience of varying technical ability (including policy professionals, analysts and technical experts).
	+ A short (less than 3 pages) policymakers’ summary paper written for a non-technical audience.
	+ Separate interim presentations should also be prepared on each of the output areas identified in the sub-sections above. These should cover the progress in each of the output areas identified above. These interim draft presentations will serve as the primary way to communicate official project progress to DESNZ and also act as the primary trigger for invoicing.
	+ Quarterly progress meetings giving a formal overview of project progress are required. It is expected that these meetings will also be attended by a representative from the project teams’ independent steering group (see Section 5, ‘External Steering Group’ sub-section).
	+ Progress updates to be delivered at weekly virtual meetings with DESNZ project manager also required.

# Database Hosting Requirements

The database to be delivered at the end of the project and described in Sections 5 and 6 will be hosted on the Department’s secure internal computing facility (CBAS) which is itself a Microsoft Azure hosted cloud-based computing setup. During development of the database the contractor will need to liaise with Department’s CBAS team to specify storage and processing requirements that will need to be in place for deliver and upload of the final database. For reference the database and outputs from Phase 1 require approximately 800GB of storage. It is very likely that the completed database and outputs from this project will exceed 1TB.

The relational database from the pilot study has been developed in PostgreSQL and queries, code and algorithms from the pilot study to be shared with the contractor have been developed to work in PostgreSQL. The final database to be delivered should similarly be PostgreSQL relational database.

For the duration of the project the contractor may choose to use their own computing facility for development, engineering, and analysis of the database. This can be either servers on their own premises, or a cloud based service (AWS, Azure, etc.) so long as the Data Protection requirements in Section 13 and 14 are adhered to.

# Ownership and Publication

DESNZ is committed to openness and transparency. All outputs (with the exception of project updates) should be accessible, non-disclosive and suitable for publication and further use.

The exceptions to this are where data is commercial in confidence.

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

Unless the above exceptions have been stated in a proposal, it is expected DESNZ will have complete ownership of all outputs and elements required to completely replicate or update all outputs from this commissioned research project.

# Quality Assurance

Tenderers must set out their approach to quality assurance in their proposal. To demonstrate relevant experience in producing high quality reporting, the lead contactor must:

* Ensure that quality assurance is undertaken by individuals who were not directly involved in the research, analysis or model development.
* Specify who will be responsible for quality assurance before it comes to DESNZ.
* Specify escalation points within the supplier’s organisation, should issues not be addressed at an earlier stage. This must be a person who is in a senior position within the supplier’s organisation.

Sign-off for the quality assurance must be by someone of sufficient seniority within the contractor organisation to be able to take responsibility for the work done.  DESNZ reserves the right to refuse to sign off outputs which do not meet the required standard specified in this invitation to tender.

Close collaboration with DESNZ on the QA and review of all outputs will be critical, especially the database and guidance/documentation. Given the complexity and paradigm changing nature of this project for the Department’s evidence base, early and iterative review by DESNZ of work-in-progress (e.g. early drafts of guidance and documentation for the database) will be essential to ensuring outputs are of an acceptable standard when delivered.

The Contractor must state how all of the work on the project will be quality assured by producing a Quality Assurance (QA) plan that should be included within the proposal.

For any primary research including the survey data collection the contractors must:

* Set out a clear, methodological approach including how the research would be designed, sampled, analysed, reported and quality assured.

**Modelling & Database QA:**

All models and modelling must be quality assured and documented. This includes any imputations and assumptions-driven data processing.

[This link](https://www.gov.uk/government/collections/quality-assurance-tools-and-guidance-in-decc)[[6]](#footnote-7) contains an externally accessible version of the DESNZ Modelling QA tools and guidance including a QA log template. The QA log should be filled out during the project and submitted at project completion as a deliverable to demonstrate the QA undertaken.

When models are submitted to DESNZ, during the project or at completion, they should be accompanied by confirmation by a senior (partner or equivalent) of the contracting organisation, that the assurance has taken place in accordance with approaches outlined in the QA plan agreed with DESNZ.

For all projects, Contractors must supply quality assurance evidence for any existing models they wish to submit to DESNZ. This must be:

* to a standard that is at least the equivalent of DESNZ’s internal standard.
* accepted as suitable by DESNZ.

**Database Guidance and Documentation QA:**

The Contractor will be expected to produce high quality documentation and guidance on the use of the database that meet the following criteria:

General:

* Provide a clear overview of how the database is structured and where to find, in plain English;
* Clearly structured so that information presented is logical and easy to find;
* Documentation is concise and makes prudent use of annexes.

Reproducibility:

* The documentation and guidance provided with the database and methods for update and sampling must be complete so as to enable DESNZ analysts to replicate any steps and analysis without further input from the contractor;
* All modelling required to use, update, and sample from the database must be clearly detailed in particular with a clear explanation or visualisation of how input data, tools/algorithms, and any code are used to produce desired results;
* More information on best practice in reproducible research is available from ‘The Turing Way’[[7]](#footnote-8).

**Reporting QA:**

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

General:

* Answer the research questions clearly, in plain English
* Clearly structured so that information presented in each section of each report is clear
* Connections between sections are clear
* Executive summaries of no more than two sides that set out the findings clearly and their relevance to DESNZ policies
* All sections have clear introductions and conclusions (including findings being written concisely upfront)
* The report is concise and does not include vast annexes.

Use of good quality English:

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

Visualisations:

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

Data quality:

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

# Timetable

Suppliers should be prepared for a quick start-up date for this project and be ready, if successful, to engage with the Authority at the times indicated.

The indicative timetable for this project is given in Table 1 below. The timetable is based on the methodology proposed in Section 5 (based on work packages 1 to 7). Any deviation from this methodology will require bidders to submit an updated timetable of works that fits within the bounds of the overall project timeframes (see contract end date stated below).

Note that this project must be completed and deliver by the end of March 2025. No extensions past this date will be possible.

**Table 1: Timetable of works**

|  |  |
| --- | --- |
| **Timetable**  | **Deadline** (w/c) |
| Kick-off Meeting   | 28/08/2023 |
| Data access arrangements for contractor in place | 09/10/2023 |
| Appraisal of sector-specific existing datasets | 27/11/2023 |
| Draft survey design and recruitment plan | 18/12/2023 |
| Sector survey sample (following round of engagement) | 12/02/2024 |
| Survey collection starts | 26/02/2024 |
| Proposal for method to make database accessible (for review) | 21/03/2024 |
| Survey collection ends | 26/08/2024 |
| Draft stock database (incorporating sector specific survey results), including draft Assumption Log, Dataset, User Guide, Data Dictionary.  | 23/09/2024 |
| Training Session for DESNZ Analysts (using Draft stock database) | 09/12/2024 |
| Draft of the final report for DESNZ review | 13/01/2025 |
| Final stock database (incorporating sector specific survey results), including Assumption Log, Dataset, User Guide, Data Dictionary. | 10/02/2025 |
| Final report (includes Executive summary and final versions of all draft deliverables) | 17/02/2025 |
| Dissemination Presentation  | 24/02/2025 |
| Contract End Date  | 03/03/2025 |

Weekly updates by email and/or phone should be held between the Contractor’s Project Manager and DESNZ’s Project Manager. These timings may vary, and DESNZ’ Project Manager will inform the supplier’s Contract Manager, in good time, if this is the case.

# Ethics

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

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

1.     Clear and defined public benefit

2.     Sound application, conduct and interpretation

3.     Data protection regulations

4.     Specific and informed consent

5.     Enabling participation

6.     Minimising personal and social harm

# Working Arrangements

The successful contractor will be expected to identify one named point of contract through whom all enquiries can be filtered. A DESNZ Project Manager will be assigned to the project and will be the central point of contact. Additionally, members of DESNZ analytical teams will be assigned as secondary points of contact on technical/data related matters.

This database will form the future evidence base for decision making on the non-domestic building stock for the department’s analytical and modelling capabilities. This therefore necessitates working closely with DESNZ to evaluate needs relative to current analytical capabilities and proposed developments to ensure the database can be readily integrated with DESNZ analytical and modelling capabilities after handover. We therefore expect the contractors to agree a template/format for results/data with DESNZ modellers and statisticians such that the data can be used to update DESNZ internal models. We also expect that the contractor will liaise with secondary technical points of contact on key decisions about data formats, database structure, and encoding of variables. DESNZ will also endeavour to make available as many internally held data sets as possible at the beginning of the project so that these may be available to the contractor.

Any physical site surveys are expected to be in line with industry best practice, follow all mandatory health & safety guidelines.

# Data Protection

The Contractor will be compliant with the Data Protection Legislation, as defined in the terms and conditions applying to this Invitation to Tender. A guide to The General Data Protection Regulation published by the Information Commissioner’s Office can be found [here.](https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/)

The only processing that the Contractor is authorised to do is listed in Annex 1 by DESNZ, “the Authority” and may not be determined by the Contractor.

**Annex 1: Processing, Personal Data and Data Subjects**

1. The contact details of the Authority’s Data Protection Officer are:

DESNZ Data Protection Officer
Department for Energy Security and Net Zero
1 Victoria Street
London
SW1H 0ET

Email: dataprotection@beis.gov.uk

1. The contact details of the Contractor’s Data Protection Officer (or if not applicable, details of the person responsible for data protection in the organisation) are: [To be completed by the Contractor]
2. The Contractor shall comply with any further written instructions with respect to processing by the Authority.
3. Any such further instructions shall be incorporated into this Annex 1.

|  |  |
| --- | --- |
| **Description** | **Details** |
| Subject matter of the processing | The processing is needed in order to ensure that the Contractor can effectively deliver the National Buildings Database. Given the wide ranging nature of the project, the processing of the names of individuals working in other governmental department as well as third-party industry contacts and survey stakeholder is required to ensure a success of the project.  The processing of names and business contact details of staff of both the Authority and the Contractor will be necessary to deliver the services exchanged during the course of the Contract, and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract. |
| Duration of the processing | Processing will take place from 28th August 2023 for the duration of the Contract (18 months) plus a 6-month retention period. The Contract will end on 3rd March 2025. |
| Nature and purposes of the processing | The nature of the processing will include collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data etc.Processing takes place for the purposes of research. This will include sharing (between DESNZ and the contractor) of the contact details of relevant stakeholders in other governmental departments as well as third party researchers and companies that have interests and expertise in the non-domestic building space. The engagement of these individuals is expected under the terms of the ITT to facilitate identification of sector-specific data and support recruitment for sector survey samples. Survey respondent contact details will also held and processed for the purpose of administering the survey roll out and will not feature in any final deliverables.The nature of processing will include the storage and use of names and business contact details of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract. |
| Type of Personal Data  | Names, email addresses, office location, position, and telephone numbers (which for sole traders may be their personal telephone number as well as business telephone number). Names, business telephone numbers and email addresses, office location and position of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract. |
| Categories of Data Subject | Staff of the Authority or the Contractor (including volunteers, agents, and temporary workers), customers/clients, patients, students/pupils, staff of other governmental departments and the devolved administrations, academics working the fields related to the project and companies and representatives of these companies that own or occupy non-domestic buildings to be surveyed.Staff of the Authority and the Contractor, including where those employees are named within the Contract itself or involved within contract management.  |
| Plan for return and destruction of the data once the processing is completeUNLESS requirement under European member state law to preserve that type of data | The Personal Data will be retained by the Contractor for a 6 month retention period, following which the Contractor will provide the Authority with a complete and uncorrupted version of the Personal Data in electronic form (or such other format as reasonably required by the Authority) and erase from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract and the Contractor retention period. The Contractor will certify to the Authority that it has completed such deletion. Where Personal Data is contained within the Contract documentation, this will be retained in line with the Department’s privacy notice found within the Invitation to Tender.  |

The nature of the service will require the Contractor to collect personal data directly from data subjects. The Contractor will use the agreed DESNZ privacy notice as instructed by the Authority.

DESNZ will be relying on consent as the relevant legal basis of processing. The Contractor will ensure that all communications requesting the provision on personal data allow for the data subject to provide clear, affirmative, informed, freely given and unambiguous consent, which requires a positive ‘opt-in.’ The Contractor will have mechanisms in place to ensure that consent is recorded and shown through an audit trail.

# Cyber Security

In line with [HM Government’s Cyber Essentials Scheme](https://www.gov.uk/government/publications/cyber-essentials-scheme-overview), the Contractor will hold valid Cyber Essentials certification by the time of contract award. Evidence of the certification must be provided to the Authority in order for the contract to be awarded.

Evidence of renewal of certification must then be provided to the Authority on each anniversary of the first applicable certificate obtained by the Contractor for the duration of the Contract. In the event the Contractor fails to comply, the Authority reserves the right to terminate the Contract for material breach in line with the Mid-Tier Contract Terms and Conditions of Contract.

If the Contractor already holds ISO27001 accreditation, no further Cyber Essentials certification will be necessary provided that the certification body carrying out this verification is approved to issue a Cyber Essentials certificate by one of the accreditation bodies.

# Skills and experience

DESNZ would like you to demonstrate that you have the experience and capabilities to undertake the project. Your tender response should include a summary of each proposed team members experience and capabilities, including the CVs of the key project members (CVs not counted towards the page limit, to be submitted as Appendices).

Contractors should propose named members of the project team, and include the tasks and responsibilities of each team member. This should be clearly linked to the work programme, indicating the grade/ seniority of staff and number of days allocated to specific tasks.

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

We expect the skills of the project team to include:

* Past experience related to analysis of the non-domestic building stock
* Previous demonstration of the design and execution of building surveys (including sample design and statistics)
* Relevant data processing and handling expertise
* Statistical, sampling and survey expertise, and experience in undertaking large scale and detailed site-based energy surveys
* A deep technical understanding of energy using equipment and abatement options in the non-domestic buildings sector.
* Expertise in engaging relevant actors and respondents in these sectors.
* Excellent project management skills.
* Problem solving experience.

# Consortium Bids

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

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

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

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

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

# Budget

The budget for this project is **£2,650,000 to** **£2,880,000** excluding VAT. Please do not submit bids that exceed this amount.

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

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

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

Indicative cost table:

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Acceptance criteria** | **Phasing** |
| 1. Draft survey design & recruitment plan (all sectors) (3rd Month) | A ready to execute survey plan that outlines survey design, final sample sizes and recruitment strategy. It must include (for each sector), but not limited to, detailed justification for the number of surveys to be carried out, the type of surveys to be carried, the data fields to be collected, sector-specific modifications to these fields, timeframes for collection, and a strategy for survey recruitment. | 10% |
| 2. Interim report on proposed approach for data update methodology and accessible data sampling methodology. (5th Month) | The interim report will need to outline clearly any literature reviewed, and the rationale for the proposed approach to data update and sampling methodologies. A clear outline of the data processing steps and/or algorithm to be developed must be provided. | 10% |
| 3. Survey summary results (interim overview of results + interim presentation) (10th Month) | Interim summary report/datasheet and presentation on the headline figure from the surveys by sector - with all necessary data cleansing and processing completed.  | 10% |
| 4. Draft stock database. (12th Month) | A draft version of the database that contains the database structure, reflect comments from DESNZ to date on the structuring and format of the database, and a finalised approach to additional sector specific datasets to be integrated. | 20% |
| 5. DESNZ Analyst Training Session + documentation and guidance drafts (14th Month) | Training session on the use of the database (using the draft database and guidance and documentation) will be provided to target user group of DESNZ analysts. This will include a thorough review of the database structure, key schemas, and review of useful queries. | 10% |
| 6. Final stock database and user guidance documentation and methods for update and data sampling (17th Month) | Final version of database, fully quality assured / reviewed, ready for use. The database will address all the research questions set out in this specification. Feedback given by DESNZ in the drafting process has been addressed and all the necessary code, assumptions will have been fully handed over to DESNZ.Finalised documentation and user guidance will be provided with DESNZ feedback addressed.Fully operational methods/code for updating the database and generating accessible data samples will be provided. | 30% |
| 7. Final report, executive summary, slide pack (dissemination presentation). (18th Month) | Final version of report ready for publication. Executive summary, slide pack (presented at the dissemination presentation). These will address all the research questions set out in this specification. Feedback given by DESNZ in the drafting process has been addressed. | 10 % |

This can be adjusted and agreed with the contractor based on the tender response. Please advise in your tender response how this breakdown reflects your usual payment processes:

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

The Department aims to pay all correctly submitted invoices as soon as possible with a target of 10 days from the date of receipt and within 30 days at the latest in line with Mid-Tier Contract terms and conditions of contract.

# Evaluation of Tenders

Contractors are invited to submit full tenders of no more than 24 pages, excluding declarations. Tenders will be evaluated by at least three DESNZ staff.

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

* **Conflict of interest:** pass/fail. See page 9 of the ITT for further information
* **Bid price over budget:** Fail

**EVALUATION CRITERIA AND SCORING METHODOLOGY**

|  |  |  |
| --- | --- | --- |
| Criterion | Description | Weighting |
| **01** | **Methodology**This criterion is made up of four sub-criteria: | **40%** |
|  | 01a – Database development approachDemonstrate the ability, via the proposed method of their creation, to build the database using the piloted methodology and complete and validate instances using surveys and other data sources employing high quality, robust, rigorous research methods which demonstrates best practice. Includes evidence of the effectiveness of their proposed approach. This will include a credible outline of a data management plan as outlined in Section 5. | *7.5%* |
|  | 01b – Sector-Specific Data Collection & SurveysThe proposed approach to data collection and surveys, including survey method, recruitment, and sample size outlined. Must be technically credible as a means for collecting the required outputs to validate and inform assumptions for filling gaps in the database. | *10%* |
|  | 01c – Handover, Documentation, TrainingOutline an approach to documentation and training that will include robust reference material and user guidance, as well as appropriate training to ensure that DESNZ analysts are made aware of and can use and access all functionality of the database after handover.  | *7.5%* |
|  | 01d – Working with DESNZExplain approach for working with DESNZ, including how analysts and key teams will be engaged to determine data formatting requirements and provide input to the development of database, training, and guidance. | *5%* |
|  | 01e – Methods for updating and sampling databaseDemonstrated through proposed approach to investigate and develop a robust, replicable, and transparent method/algorithm for updating and generating accessible sample from the data, employing latest development in the field where applicable as part of a rigorous research approach. | *10%* |
| **02** | **Resource and Technical Capability**This criterion is made up of three sub-criteria: | **25%** |
|  | 02a – Allocated resource to the project with the necessary depth of knowledge / skills to ensure a high-quality output, including the necessary data handling and processing skills demonstrated through individual 2-page CVs | 7.5% |
|  | 02b – Allocated an appropriate quantity of resource to the project to ensure its timely completion to a high standard (quantity of resource). Bidder should supply a project team organogram indicating which team members will be working on specific work packages.  | 10% |
|  | 02c – Allocated resource to the project that includes the range of skills required, across all relevant areas, to successfully deliver the project (breadth of skills). Bidders should use the annotated organogram for Criterion 02b to support an explanation of how allocated team members provide the right combination of skills of each work package. Bidder should also explain how they propose to establish an external steering group with required skill and experience to provide robust oversight of the research approach. | 7.5% |
| **03** | **Project Management and Risk**With specific reference to the research design and methodology, outputs and working arrangements, as stated above, bidders must submit a detailed contract delivery plan containing the following information:A full project plan detailing:* Project Gantt chart with tasks to be undertaken and milestones to be reached
* A project risk register.
* The individuals responsible for undertaking tasks (including seniority of staff and number of days allocated for each task)
* A robust and rigorous quality assurance process
* A realistic plan to ensure that the project will be deliverable by no later than March 2025.
* A clear statement on data management and handling, including how any restrictions on cloud computing and storage locations will be adhered to for sensitive data.

Contractors should identify key risks for the project and set out the steps that will be taken to manage and mitigate against them. Contractors should also set out how risks will be identified, assessed, managed and monitored throughout the project. Appropriate handling of ethical issues should also be considered. | **10%** |
| **04** | **Price**The price will be marked proportionately to the maximum budget. Suppliers whose submissions are over budget are ruled out. Remaining suppliers are then evaluated so that the lowest priced bid compared to the budget receives full marks, and other suppliers receive marks proportional to their proposal compared to the published budget.Applicants are expected to completely fill in and attach Annex A: Pricing Schedule. | **15%** |
| **05** | **Social Value**Using a maximum of **500 Words** describe the commitment your organisation will make to ensure that opportunities under the contract influence staff, suppliers, customer, and communities to support environmental protection and improvement. Please include:● your ‘Method Statement’, stating how you will achieve this and how your commitment meets the Award Criteria, and● a timed project plan and process, including how you will implement your commitment and by when. Also, how you will monitor, measure and report on your commitments/the impact of your proposals. You should include but not be limited to:○ timed action plan○ use of metrics○ tools/processes used to gather data○ reporting○ feedback and improvement○ transparency Further information can be found [here](https://www.gov.uk/government/publications/procurement-policy-note-0620-taking-account-of-social-value-in-the-award-of-central-government-contracts): <https://www.gov.uk/government/publications/procurement-policy-note-0620-taking-account-of-social-value-in-the-award-of-central-government-contracts>  | **10%** |
| **TOTAL** | **100%** |

**Scoring Method**

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

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

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

**Structure of Tenders**

Contractors are strongly advised to structure their tender submissions to cover each of the criteria above. Complete the price schedule attached at Annex A, specifying the daily rates (ex-VAT) you will charge for each level of your staff, as well as breakdown of sector-specific data collection and survey costs required in addition to staff and non-staff resources for delivery of the project.

**Bid Clarification**

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

**Feedback**

Feedback will be given in the unsuccessful letters or emails.

**Section 3**

**Further Information on Tender Procedure**

Invitation to tender for: National Buildings Database

Tender reference number: prj\_1821

Deadline for tender responses: 21st July 2023 (2:00pm)

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# Definitions

Please note that references to the "Department" throughout these documents mean The Secretary of State for Business, Energy and Industrial Strategy acting through his/her representatives in the Department for Business Energy & Industrial Strategy.

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

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

# Data security

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

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

# Non-Collusion

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

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

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

**Section 4**

**Declarations to be submitted by the Tenderer**

Invitation to tender for: National Buildings Database

Tender reference number: prj\_1821

Deadline for tender responses: 21st July 2023 (2:00pm)

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# Declaration 1: Statement of non-collusion

To: The Department for Business, Energy & Industrial Strategy

1. We recognise that the essence of competitive tendering is that the Department will receive a bona fide competitive tender from all persons tendering. We therefore certify that this is a bona fide tender and that we have not fixed or adjusted the amount of the tender or our rates and prices included therein by or in accordance with any agreement or arrangement with any other person.

2. We also certify that we have not done and undertake not to do at any time before the hour and date specified for the return of this tender any of the following acts:

1. communicate to any person other than the Department the amount or approximate amount of our proposed tender, except where the disclosure, in confidence, of the approximate amount is necessary to obtain any insurance premium quotation required for the preparation of the tender;
2. enter into any agreement or arrangement with any other person that he shall refrain for submitting a tender or as to the amount included in the tender;
3. offer or pay or give or agree to pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person doing or having done or causing or having caused to be done, in relation to any other actual or proposed tender for the contract any act, omission or thing of the kind described above.

3. In this certificate, the word “person” shall include any person, body or association, corporate or unincorporated; and “any agreement or arrangement” includes any such information, formal or informal, whether legally binding or not.

……………………………………………………………………………….….

Signature (duly authorised on behalf of the tenderer)

……….………………………………………………………………………….

Print name

…………………………………………………………….…………………….

On behalf of (organisation name)

…………………………………………………………………….…………….

Date

# Declaration 2: Form of Tender

To: The Department for Business, Energy & Industrial Strategy

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

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

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

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

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

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

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

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

…………………………………………………………………………........

Signature (duly authorised on behalf of the tenderer)

…………………………………………………………………………………

Print name

………………………………………………………………………….

On behalf of (organisation name)

………………………………………………………………………….

Date

# Declaration 3: Conflict of Interest

I have nothing to declare with respect to any current or potential interest or conflict in relation to this research (or any potential providers who may be subcontracted to deliver this work, their advisers or other related parties). By conflict of interest, I mean, anything which could be reasonably perceived to affect the impartiality of this research, or to indicate a professional or personal interest in the outcomes from this research.

Signed …………………………………….

Name …………………………………….

Position …………………………………….

***OR***

I wish to declare the following with respect to personal or professional interests related to relevant organisations\*;

* X
* X

*Where a potential conflict of interest has been declared for an individual or organisation within a consortia, please clearly outline the role which this individual or organisation will play in the proposed project and how any conflict of interest has or will be mitigated.*

* X
* X

Signed …………………………………….

Name …………………………………….

Position …………………………………….

Please complete this form and return this with your ITT documentation - Nil returns **are** required.

**\*** These may include (but are not restricted to);

* A professional or personal interest in the outcome of this research
* For evaluation projects, a close working, governance, or commercial involvement in the project under evaluation
* Current or past employment with relevant organisations
* Payment (cash or other) received or likely to be received from relevant organisations for goods or services provided (Including consulting or advisory fees)
* Gifts or entertainment received from relevant organisations
* Shareholdings (excluding those within unit trusts, pension funds etc) in relevant organisations
* Close personal relationship or friendships with individuals employed by or otherwise closely associated with relevant organisations

***All of the above apply both to the individual signing this form and their close family / friends / partners etc.***

If your situation changes during the project in terms of interests or conflicts, you must notify the Department straight away.

A DECLARATION OF INTEREST WILL NOT NECESSARILY MEAN THE INDIVIDUAL OR ORGANISATION CANNOT WORK ON THE PROJECT; BUT IT IS VITAL THAT ANY INTEREST OR CONFLICT IS DECLARED SO IT CAN BE CONSIDERED OPENLY.

**Declaration 4: Standard Selection Questionnaire**

***Financial Credit Checks:***

*DESNZ use Dun & Bradstreet or Spotlight, the government’s online automated due-diligence tool to assist them with their financial due diligence and will request Dun and Bradstreet/Spotlight to provide comprehensive reports on the preferred bidder/s..*

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

*Suppliers assessed with a high financial risk status may not be awarded a contract at this stage we will revert to the bidder to discuss further.*

**Potential Supplier Information and Exclusion Grounds: Part 1 and Part 2.**

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion1. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

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

When completed, this form is to be sent back to the contact point given in the procurement documents along with the selection information requested in the procurement documentation.

**Supplier Selection Questions: Part 3**

The procurement document will provide instructions on the selection questions you need to respond to and how to submit those responses. If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

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

**Consequences of misrepresentation**

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences.  You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

**National Buildings Database**

**PRJ\_1821**

**OPEN TENDER**

**Notes for completion**

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The authority recognises that arrangements set out in Section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date.  The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. For Part 1 and Part 2 every member of your bidding group/consortium, and any subcontractor that is being relied on to meet the selection criteria, must complete and submit the self-declaration.
6. For the mandatory exclusion grounds only (Q2.1(a)), you must complete the declaration for all relevant persons and entities. There are two categories of persons and entities:
* members of your administrative, management or supervisory board; secondly, entities and persons who have powers of representation, decision or control.  You must decide, depending on the nature and structure of the entity or person who is bidding, which entities and persons this applies to in your particular circumstances. Clearly, members of your administrative, management or supervisory board should be easily identifiable and will cover company directors (or equivalent for other types of corporate entities) and members of an executive board.
* the second category of those with powers of representation, decision or control, is likely to be more complicated. As an illustration, entities or persons with 25% or more shareholding (or equivalent for other types of corporate entities) are likely to have powers or representation, decision or control, although those with a lower shareholding may still have the relevant powers depending on their particular rights.  Similarly, your ultimate parent company (or equivalent for other types of corporate entities) is likely to have powers of representation, decision or control.  Depending on your particular structure, intermediate parent companies who do not have a direct shareholding, directors or members of an executive board of your immediate parent company (for example in the case of an SPV set up specifically to bid for a particular contract), and holders of mortgages or liens may be covered. It isn’t necessary to identify which entities and persons you think are covered but you must be satisfied that your declaration is made in respect of all of those that are covered.
1. All sub-contractors are required to complete Part 1 and Part 22.
2. For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.
3. The authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.
4. The Public Procurement Review Service allows government suppliers and potential government suppliers to raise concerns anonymously about unfair public sector procurement practice. The government can then investigate and resolve these concerns for contracting authorities as listed in [Schedule 1](http://www.legislation.gov.uk/uksi/2015/102/schedule/1/made) of the Public Contracts Regulations 2015. To use the Public Procurement Review Service, [read the terms](https://www.gov.uk/government/publications/mystery-shopper-scope-and-remit) and email publicprocurementreview@cabinetoffice.gov.uk or phone 0345 010 3503.

**Part 1: Your Information and the Bidding Model**

You must answer all questions in Part 1 and Part 2 and ensure that every organisation on which you will rely to meet the selection criteria, completes and submits their own answers and declaration for Part 1 and Part 2.

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

|  |  |
| --- | --- |
| **Section 1**  | **Your Information**  |
| **Question number**  | **Question**  | **Response**  |
| 1.1(a)  | Name (if registered, please give the registered name)  |   |
| 1.1(b) – (i)  | Registered address (if applicable) or head office address  |   |
| 1.1(b) – (ii)  | Registered website address (if applicable)  |   |
| 1.1(c)  | Trading status a) - public limited company b) - private limited company c) - limited liability partnership d) - other partnership e) - sole trader f) - third sector g) - other (please specify your trading status)  |   |
| 1.1(d)  | Date of registration (if applicable) or date of formation  |   |
| 1.1(e)  | Registration number: company, partnership, charity etc. (if applicable)  |   |
| 1.1(f)  | Registered VAT number (if applicable)  |   |
| 1.1(g) - (i)  | Are you registered with the appropriate professional or trade register(s) specified for this procurement, in the country where your organisation is established?  | Yes ☐ No  ☐ N/A ☐  |
| 1.1(g) - (ii)  | If you responded yes to 1.1(g) - (i), please provide the relevant details, including the name of the register and registration number(s) and, if evidence of registration is available electronically, please provide:  - the website address; - issuing body; - reference number.  |   |
| 1.1(h) - (i)  | For procurement of **services only**, is it a legal requirement, in the country where you are established, for you to: a) possess a particular authorisation; or b) be a member of a particular organisation, to provide the requirements specified in this procurement?  |     Yes ☐ No   ☐  |
| 1.1(h) - (ii)  | If you responded yes to 1.1(h) - (i), please provide the relevant details of what is required, confirmation that you have complied with this and, if evidence of compliance is available electronically, please provide:  - the website address; - issuing body; - reference number.  |   |
| 1.1(i)  | State whether you fall within one of these classifications and if so, which one:  1. Voluntary Community Social Enterprise (VCSE)
2. Sheltered Workshop
3. Public Service Mutual
 |   |
| 1.1(j)  | Are you a Small, Medium or Micro Enterprise (SME)3?  |  Yes ☐ No   ☐  |
| 1.1(k)  | Details of Persons with Significant Control (PSC), where appropriate:  4   - Name; - Date of birth; - Nationality; - Country, EU state or part of the UK where the PSC usually lives; - Service address; - The date they became a PSC in relation to the company; - Which conditions for being a PSC are met:   - Over 25% up to (and including) 50%;  - More than 50% and less than 75%; - 75% or more. 5 (Please enter N/A if not applicable)  |   |
| 1.1(l)  | Details of your immediate parent company:  - Full name of the immediate parent company; - Registered or head office address; - Registration number; - VAT number. (Please enter N/A if not applicable)  |   |
| 1.1(m)  | Details of ultimate parent company:  - Full name of the ultimate parent company; - Registered or head office address; - Registration number; - VAT number. (Please enter N/A if not applicable)  |   |
| Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and all relevant persons and entities (as described above).  |

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

|  |  |
| --- | --- |
| **Section 1 continued**  | **Bidding Model**  |
| **Question number**  | **Question**  | **Response**  |
| 1.2  | Indicate if you are bidding as a single supplier, or as part of a group or consortium  | Single Supplier          ☐ Group / Consortium   ☐  |
| 1.2  | If you are bidding as a single supplier, go to Q1.3. If you are part of a group or consortium (including where you intend to establish a legal entity to deliver the contract, or you are a subcontractor), please tell us:  |
| 1.2(a)  | Name of group or consortium  |   |
| 1.2(b)  | Proposed structure of the group or consortium, including legal structure where applicable  |   |
| 1.2(c)  | Name of lead member of group or consortium  |   |
| 1.2(d)  | Your role in the group or consortium (eg lead, consortium member, subcontractor)  |   |
| 1.2(e)  | If you are the lead of the group or consortium: are you relying on other members to meet the selection criteria (ie for economic and technical standing and/or technical and professional ability)? If so, which criteria are you relying on them for?  | Yes ☐ No   ☐  Criteria:  |
| 1.3  | Are you (or the group or consortium)  proposing to use sub-contractors or a supply chain?  | Yes ☐ No   ☐   |
| If you responded yes to 1.3, please provide the details for all sub-contractors and supply chain members that are known at this stage as follows:  |
| 1.3(a)  | - Full name; - Registration number; - Registered or head office address; - Trading status: (a) – Public limited company; (b) – Private limited company; (c) – Limited liability partnership; (d) – Other partnership; (e) – Sole trader; (f) – Third sector; (g) – Other (please specify). - Registered VAT number; - SME (Yes/No); - The role each subcontractor will take in providing the deliverables; - The approximate % of contractual obligations assigned to each subcontractor; - Where the subcontractor is being relied on to meet the selection criteria, which criteria are you relying on them for?  |
| 1.4  | **Lots**  Where applicable, please tell us which lot(s) you wish to bid for?  |   |

**Part 2: Exclusion Grounds**

Please answer the following questions in full. Note that every organisation that forms part of your bidding group/consortium, as well as every organisation that is being relied on to meet the selection criteria (including subcontractors) must complete and submit responses to Part 1 and the declarations in Part 2.

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

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

If the relevant documentation is available electronically please provide: * the web address;
* issuing authority;
* precise reference of the documents;
 |   |
| 2.1(c)  | If you have answered Yes to any part of question 2.1(a) above, please explain what measures have been taken to demonstrate your reliability, despite the existence of relevant grounds for exclusion? (Self Cleaning)  |   |

|  |  |  |
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| **Section 3**  | **Mandatory and Discretionary Grounds for Exclusion Relating to the Payment of Taxes and Social Security Contributions**  |   |
| The detailed grounds for mandatory and discretionary exclusion of a supplier, for non-payment of taxes and social security contributions, are set out at the end of Part 2 below, and should be referred to before completing these questions.  |   |
| **Question number**  | **Question**  | **Declaration**  |   |
| 3.1(a)   | Please confirm that you have met all your obligations relating to the payment of taxes and social security contributions, both in the country in which you are established, and in the UK.  If documentation is available electronically please provide: * the web address;
* issuing authority;
* precise reference of the documents;
 |  Yes **▢** No **▢**  |   |
| 3.1(b)  | If you have answered NO to 3.1(a) please provide further details including the following: * the Country concerned;
* the Amount concerned;
* how the breach was established, i.e. through a judicial or administrative decision, or by other means;
* the Date of the decision, if the breach has been established through a judicial or administrative decision;
* if the breach has been established by other means, please specify the means.
 |   |   |
| 3.2  | Please also confirm whether you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including, where applicable, any accrued interest and/or fines.  |  Yes **▢** No **▢**  |   |
| Please Note: We reserve our right to use our discretion to exclude your bid where we can demonstrate by any appropriate means that you are in breach of your obligations relating to the payment of taxes or social security contributions.  |   |

|  |  |
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| **Section 4**  | **Grounds for Discretionary Exclusion**  |
| The detailed grounds for discretionary exclusion of an organisation are set out at the end of Part 2 below and should be referred to before completing these questions.  |
| **Question Number**  | **Question**  | **Declaration**  |
| 4.1  | Within the past three years, anywhere in the world, have any of the situations summarised below (and listed in full at the end of Part 2) applied to you?  |
| 4.1(a)    | Breach of environmental obligations? (Note this includes Health & Safety obligations)  | Yes   ☐ No    ☐  |
| 4.1 (b)  | Breach of social law obligations?  | Yes   ☐ No    ☐  |
| 4.1 (c)  | Breach of labour law obligations?   | Yes   ☐ No    ☐  |
| 4.1(d)  | Bankruptcy or subject of insolvency?  | Yes   ☐ No    ☐  |
| 4.1(e)  | Guilty of grave professional misconduct?  | Yes   ☐ No    ☐  |
| 4.1(f)  | Distortion of competition?  | Yes   ☐ No    ☐  |
| 4.1(g)  | Conflict of interest?  | Yes   ☐ No    ☐  |
| 4.1(h)  | Been involved in the preparation of the procurement procedure?  | Yes  ☐ No    ☐  |
| 4.1(i)  | Prior performance issues?  | Yes   ☐ No    ☐  |
| 4.1(j)  | Do any of the following statements apply to you?   |
| 4.1(j) – (i)  | You have been guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion, or the fulfilment of the selection criteria.  | Yes   ☐ No    ☐     |
| 4.1(j) – (ii)  | You have withheld such information  | Yes   ☐ No    ☐  |
| 4.1(j) – (iii)  | You are not able, without delay, to submit supporting documents when required under regulation 59 of the Public Contracts Regulations 2015  | Yes   ☐ No    ☐  |
| 4.1(j) – (iv)  | You have undertaken to unduly influence the decision-making process of the contracting authority to obtain confidential information that may confer upon you undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.  | Yes   ☐ No    ☐   |
| 4.2  | You are a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015 if you carry on your business, or part of your business, in the UK supplying goods or services and you have an annual turnover of at least £36 million. If you are a relevant commercial organisation, please:  |
| 4.2(a) – (i)  | Confirm whether you have published a statement as required by Section 54 of the Modern Slavery Act:  | Yes   ☐ No    ☐  |
| 4.2(a) – (ii)  | Confirm whether the statement complies with the requirements of Section 54:  | Yes   ☐ No    ☐   |
| 4.3  | If you have answered YES to any part of questions 4.1, or NO to question 4.2, please explain what measures have been taken to demonstrate your reliability despite the existence of a relevant ground for exclusion. (Self cleaning)  |   |

**Public Procurement Exclusion Grounds**

**Mandatory Exclusion Grounds**

Listed in Public Contract Regulations 2015 (as amended) R57(1), (2) and (3) and the Public Contract Directives 2014/24/EU Article 57(1).

***Participation in a criminal organisation***

* Participation offence as defined by section 45 of the Serious Crime Act 2015
* Conspiracy within the meaning of:
* section 1 or 1A of the Criminal Law Act 1977; or
* article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983,

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

**Corruption**

* Corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;
* The common law offence of bribery;
* Bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010, or section 113 of the Representation of the People Act 1983.

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

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

**Money laundering or terrorist financing**

* Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002
* An offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996.

**Child labour and other forms of trafficking human beings**

* An offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;
* An offence under section 59A of the Sexual Offences Act 2003
* An offence under section 71 of the Coroners and Justice Act 2009;
* An offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994
* An offence under section 1, 2 or section 4 of the Modern Slavery Act 2015.

**Non-payment of tax and social security contributions**

* Breach of obligations relating to the payment of taxes or social security contributions that has been established by a judicial or administrative decision.
* Where any tax returns submitted on or after 1 October 2012 have been found to be incorrect as a result of:
* HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle; or
* a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or “Halifax” abuse principle;
* a failure to notify, or failure of an avoidance scheme which the supplier is or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS) or any equivalent or similar regime in a jurisdiction in which the supplier is established.

**Other offences**

* Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales and Northern Ireland.
* Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland.

**Discretionary Exclusions Grounds**

Listed in Public Contract Regulations 2015 (as amended) R57(8) and the Public Contract Directives 2014/24/EU Article 57(4).

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

* Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Directive (see copy below) as amended from time to time; including, but not limited to, the following:-
* In the last 3 years, where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body).
* In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination.
* In the last three years where the organisation has been convicted of a breach of the Health and Safety legislation.
* In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).
* Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has been in breach of the National Minimum Wage Act 1998.

**Bankruptcy, insolvency**

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

**Grave professional misconduct**

* Guilty of grave professional misconduct

**Distortion of competition**

* Entered into agreements with other economic operators aimed at distorting competition.

**Conflict of interest**

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

**Been involved in the preparation of the procurement procedure.**

* Advised the contracting authority or contracting entity or otherwise been involved in the preparation of the procurement procedure.

**Prior performance issues**

* Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions.

**Misrepresentation and undue influence**

* The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award, or withheld such information or is not able to submit supporting documents required under regulation 59.

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

* The contracting authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

**Additional grounds**

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

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

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

**Consequences of misrepresentation**

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

* The potential supplier may be excluded from bidding for contracts for three years, under regulation 57(8)(h)(i) of the PCR 2015;
* The contracting authority may sue the supplier for damages and may rescind the contract under the Misrepresentation Act 1967.
* If fraud, or fraudulent intent, can be proved, the potential supplier or the responsible officers of the potential supplier may be prosecuted and convicted of the offence of fraud by false representation under s.2 of the Fraud Act 2006, which can carry a sentence of up to 10 years or a fine (or both).
* If there is a conviction, then the company must be excluded from procurement for five years under reg. 57(1) of the PCR (subject to self-cleaning).

**Part 3: Selection Questions**

|  |  |
| --- | --- |
| **Section 5**  | **Economic and Financial Standing**   |
| **Question Number**  | **Question**  | **Response**  |
| 5.1  | If documentary evidence of economic and financial standing is available electronically (e.g. financial statements filed with Companies House), please provide: * the web address
* issuing authority

precise reference of the documents  |   |
| 5.2(a)  | If documentary evidence of economic and financial standing is not available electronically, please provide a copy of your detailed accounts for the last two years (audited if required by law).  |   |
| 5.2(b)  | Also, for any other person or entity on whom you are relying to meet the selection criteria relating to economic and financial standing, please provide a copy of their detailed accounts for the last two years (audited if required by law).  |   |
| 5.3    5.3(a)      5.3(b)  | If you are not able to provide a response to questions 5.1 or 5.2, please provide any of the following alternatives:  A statement of your annual Turnover, Profit and Loss Account/Income statement; Balance Sheet/Statement of Financial Position; and Statement of Cash Flow; for the most recent year(s) of trading plus a Bank Letter outlining the current cash and credit facility position.   Alternative information to evidence economic and financial standing (e.g. Forecast Financial Statements and a Statement of Funding provided by the owners and/or the bank, Charity Accruals accounts or an alternative means of demonstrating financial status).  |   |
| 5.4  | Where we have specified a minimum level of economic and financial standing and/or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify whether you meet the requirements set out.  | Yes   ☐ No    ☐   |
| 5.5  | Where you are relying on another member of your bidding group/consortium, or any subcontractors, or any other security, in order to meet the selection criteria relating to economic and financial standing, please confirm that the relevant person or entity is willing to provide a guarantee or other security if required.  | Yes   ☐ No    ☐   |

|  |  |
| --- | --- |
| **Section 6**  | **Technical and Professional Ability**  |
| **Question number**  | **Question**  |
| 6.1  | **Relevant experience and contract examples**  Please provide details of up to three contracts, to meet the technical and professional ability criteria set out in the procurement documents. This can be in any combination from either the public or private sectors or VCSE’s that are relevant to our requirement. VCSEs may include examples of grant-funded work. Where this procurement is for goods or services, the examples must be from the past three years. Where this procurement is for construction works, the examples may be from the past five years. The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.  For consortium bids, or where you have indicated that you are relying on a subcontractor in order to meet the technical and professional ability, you should provide relevant examples of where the consortium / particular member / subcontractor have delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or members of the Special Purpose Vehicle or subcontractors. (Three examples are not required from each member).  Where the supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of this procurement, the information requested should be provided in respect of the main intended provider(s) or subcontractor(s) who will deliver the contract.  **For each contract please provide the following information:**  |

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

|  |  |
| --- | --- |
| 6.2  | If you cannot provide at least one example for question 6.1, in no more than 500 words please provide an explanation for this and how you meet the selection criteria relating to technical and professional ability (e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.)  |
| 6.3    | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).  Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or whether you are a signatory of the UK Prompt Payment Code (or have given commitments under equivalent schemes in other countries).  |

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| **Section 7**  | **Additional Questions including Project Specific Questions**   |
| **7.1**  | **Insurance Levels**  |
|     7.1(a)   7.1(b)   7.1(c)    7.1(d)   | Please confirm whether you already have, or can commit to obtain prior to the commencement of the contract, the levels of insurance cover indicated below:   Employer’s (Compulsory) Liability Insurance1  = £5m   Public Liability Insurance = £5m  Professional Indemnity Insurance = £2m     *1. There is a legal requirement for certain employers to hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. See the Health and Safety Executive website for more information:* * *http://www.hse.gov.uk/pubns/hse39.pdf*
 |    Yes ☐ No   ☐  Yes ☐ No   ☐  Yes ☐ No   ☐  Yes ☐ No   ☐   |
| **7.2**  | **Data Protection**  |
| 7.2(a)  | Please confirm that you have in place, or that you will have in place by contract award, the human and technical resources to ensure compliance with the UK General Data Protection Regulations and to ensure the protection of the rights of data subjects in performing the contract.   | Yes ☐ No   ☐  |
| 7.2(b)  | Please provide details of the technical facilities and measures (including systems and processes) you have in place, or will have in place by contract award, to ensure compliance with the UK General Data Protection Regulations and to ensure the protection of the rights of data subjects.  Your response should include, but should not be limited to facilities and measures: * to ensure ongoing confidentiality, integrity, availability and resilience of processing systems and services;
* to comply with the rights of data subjects in respect of receiving privacy information, and access, rectification, deletion and portability of personal data;
* to ensure that any consent based processing meets standards of active, informed consent, and that such consents are recorded and auditable;
* to ensure legal safeguards are in place to legitimise transfers of personal data outside the EU (if such transfers will take place);
* to maintain records of personal data processing activities; and
* to regularly test, assess and evaluate the effectiveness of the above measures.
 |
| **7.3**  | **Payment Terms**  |
| 7.3(a)  | Please confirm that you will comply with Regulation 113 of the Public Contract Regulations 2015, by having systems in place to include (as a minimum) 30 day payment terms in all of your supply chain contracts, and require that such terms are passed down through your supply chain.  | Yes   **▢** No    **▢**   PASS/FAIL  |
| **7.4**  | **Suppliers’ Past Performance**  |
| 7.4(a)  | Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years?   | Yes **▢** No **▢**   |
| 7.4(b)  | On request can you provide a certificate from those customers on the list?    | Yes **▢** No **▢**   |
| 7.4(c)  | If you cannot obtain a certificate from a customer can you explain the reasons why?   | Yes **▢** No **▢**   |
| 7.4(d)  | If the certificate states that goods and/or services supplied were not satisfactory are you able to supply information which shows why this will not recur in this contract if you are awarded it?    | Yes **▢** No **▢**   |
| 7.4(e)  | Can you supply the information in questions a. to d. above for any subcontractors [or consortium members] who you are relying upon to perform this contract?    | Yes **▢** No **▢**   |
| 7.5  | **Tackling Modern Slavery in Supply Chains**  |
| 7.5(a)  | If you are a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015, and if your latest statement is available electronically please provide: * the web address,
* precise reference of the documents

*(For more details see Procurement Policy Note PPN 02/23)*  |   |
| 7.5(b)  | If your latest statement is not available electronically, please provide a copy.   |   |
| 7.5(c)  | If you are not a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015 (for example if your turnover is less than £36 million or you do not carry on your business, or part of your business, in the UK), please provide the above information in relation of any published statements on modern slavery or other relevant documents containing information of a similar type/level.   |   |
| 7.5(d)  | Any modern slavery statement or other statement or document should contain at least the following information:   a. the organisation’s structure, its business and its supply chains; b. its policies in relation to slavery and human trafficking; c. its due diligence processes in relation to slavery and human trafficking in its business and supply chains; d.the parts of its business and supply chains where there is a risk of slavery and human trafficking taking place, and the steps it has taken to assess and manage that risk; e. its effectiveness in ensuring that slavery and human trafficking is not taking place in its business or supply chains, measured against such performance indicators as it considers appropriate; f. the training and capacity building about slavery and human trafficking available to its staff; or  If all of this information is not included in your modern slavery statement or other statement or documents, please provide an explanation as to why not and/or assurances that it will be included before contract award.    |   |
| **7.6**  | **Health & Safety**  |   |
| 7.6(a)  | Please describe the arrangements you have in place to manage health and safety effectively and control significant risks relevant to the requirement (including risks from the use of contractors, where relevant). Please use no more than [500] words.   |

**Contact details and declaration**

I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate, including Parts 1, 2 and 3.

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

I understand that the information will be used in the selection process to assess my suitability to participate further in this procurement.

I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

Signature:

(electronic is acceptable)

Date:

|  |
| --- |
| **Contact details of those making the declaration**  |
| **Item**  | **Response**  |
| Contact name  |   |
| Name of organisation  |   |
| Role in organisation  |   |
| Phone number  |   |
| E-mail address   |   |
| Postal address  |   |

#

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

# See spreadsheet titled “declaration-5-uk-gdpr-assurance-questionnaire.xlsx” in Tender Pack

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

I confirm that I am aware of the requirements of the Department’s Code of Practice[[9]](#footnote-10) for Research and, in the proposed project, I will use my best efforts to ensure that the procedures used conform to those requirements under the following headings[[10]](#footnote-11):

* Responsibilities
* Competence
* Project planning
* Quality Control
* Handling of samples and materials
* Facilities and equipment
* Documentation of procedures and methods
* Research/work records

I understand that the Department has the right to inspect our procedures and practices against the requirements of the Code of Practice, and that I may be asked to provide documentary evidence of our working practices or provide access and assistance to auditors appointed by the Department.

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

**Annex A: Pricing Schedule**

**All prices should be Exclusive of VAT**

**Part A – Staff/project team charges** *(excluding data collection and survey work package to be detailed in Part C and D)*

Please use the table below to provide a breakdown of staff charges for each of the indicative work packages not involving data collection outlined in Section 5 of the Specification – these are WP1, WP2, WP3, WP4, WP6, and WP7. This should not include the work outlined in indicative WP5, instead Parts C and D should be used for pricing this work package.

For non-staff/project team charges related to the non-data collection work packages please use Part B below.

If you have proposed an alternative work package breakdown please make sure work package referencing in this table is consistent with the work packages proposed in your bid.

|  |  |
| --- | --- |
| Set up Costs – please specify  |  |
|  |
| Expenses *(excluding survey related expenses) – please list* |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Work Package** | **\*Staff member name/role**  | **Daily rate** **(ex VAT)** | **No. days offered over course of contract** | **Total price offered per staff member for work package** |
| WP1 |  | £ |  | £ |
| WP1 |  | £ |  | £ |
| ***WP1*** | ***Work Package Sub-total***  | **£** |
| WP2 |  | £ |  | £ |
| WP2 |  | £ |  | £ |
| ***WP2*** | ***Work Package Sub-total***  | **£** |
| WP3 |  | £ |  | £ |
| WP3 |  | £ |  | £ |
| ***WP3*** | ***Work Package Sub-total*** | ***£*** |
| WP4 |  | £ |  | £ |
| WP4 |  | £ |  | £ |
| ***WP4*** | ***Work Package Sub-total*** | ***£*** |
| WP6 |  | £ |  | £ |
| WP6 |  | £ |  | £ |
| ***WP6*** | ***Work Package Sub-total*** | ***£*** |
| WP7 |  | £ |  | £ |
| WP7 |  | £ |  | £ |
| ***WP7*** | ***Work Package Sub-total*** | ***£*** |
|  | **Sub-total (Part A - all work packages above)** | **£** |

[\*Suppliers should also include sub-contractors]

**Part B – Non-staff/project team charges** *(excluding data collection & surveys to be detailed in Part C and D)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Work Package** | **Item** | **No. of items** | **Price per item** **(ex VAT)** | **Total price offered per item in work package** |
| WP1 |  |  | £ | £ |
| WP1 |  |  | £ | £ |
| ***WP1*** | ***Work Package Sub-total***  | **£** |
| WP2 |  |  | £ | £ |
| WP2 |  |  | £ | £ |
| ***WP2*** | ***Work Package Sub-total***  | **£** |
| WP3 |  |  | £ | £ |
| WP3 |  |  | £ | £ |
| ***WP3*** | ***Work Package Sub-total*** | ***£*** |
| WP4 |  |  | £ | £ |
| WP4 |  |  | £ | £ |
| ***WP4*** | ***Work Package Sub-total*** | ***£*** |
| WP6 |  |  | £ | £ |
| WP6 |  |  | £ | £ |
| ***WP6*** | ***Work Package Sub-total*** | ***£*** |
| WP7 |  |  | £ | £ |
| WP7 |  |  | £ | £ |
| ***WP7*** | ***Work Package Sub-total*** | ***£*** |
|  | **Sub-total (Part B - all work packages above)** | **£** |

**Part C – Non-Domestic Data Collection & Survey Costs** *(Indicative Work Package 5 or equivalent)*

Please complete this for each non-domestic sector identified in the specification scope. Should the survey costs be the same across all sectors this section can be completed with a single line with ‘All’ in the sector column to make clear that this is the total across all sectors.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Sector** | **Survey overhead costs1**  | **No. of surveys proposed** | **Price per survey** **(ex VAT)** | **Total price per sector** |
| Agriculture | £ |  | £ | £ |
| Arts and Leisure | £ |  | £ | £ |
| Commercial | £ |  | £ | £ |
| Community | £ |  | £ | £ |
| Education | £ |  | £ | £ |
| Emergency | £ |  | £ | £ |
| Excluded | £ |  | £ | £ |
| Factory | £ |  | £ | £ |
| Health | £ |  | £ | £ |
| Hospitality | £ |  | £ | £ |
| Miscellaneous | £ |  | £ | £ |
| MoD | £ |  | £ | £ |
| Office | £ |  | £ | £ |
| Shop | £ |  | £ | £ |
| Sport | £ |  | £ | £ |
| Transport | £ |  | £ | £ |
| Utilities | £ |  | £ | £ |
| Warehouse | £ |  | £ | £ |
| Other data collection costs\* *(itemise in table below)* | - | - | - |  |
| **Sub-total (Part C)** |  |  | **£** |

1This would include for example any IT infrastructure used for collecting and storage of responses, survey administration costs, but not any other data collection or access costs or processing of results and data engineering which should be accounted for in the table below or Parts D below respectively

*Detail of Other Data Collection Costs*

Use this table for additional breakdown of other data collection costs. The total sum of itemised costs in this table must match the value in the“Other data collection costs” row above. Don’t add the total of this table into the overall bid total below (Part E) as it is counted in the sub-total for Part C above.This table is purely for providing additional detail on the breakdown of other detailed costs.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Sector** | **Item Description** | **No. Of Items** *(if applicable)* | **Item Unit Cost** | **Total price offered per item** |
|  |  |  | £ | £ |
|  |  |  | £ | £ |
|  |  |  | £ | £ |
|  |  |  | £ | £ |
|  |  |  | £ | £ |
|  |  |  | £ | £ |

**Part D – Staff/team member charges for Non-Domestic Data Processing & Engineering** *(Indicative Work Package 5 or equivalent)*

|  |  |  |  |
| --- | --- | --- | --- |
| **\*Staff member name/role**  | **Daily rate** **(ex VAT)** | **No. days offered over course of contract** | **Total price offered per staff member for work package** |
|  | £ |  | £ |
|  | £ |  | £ |
|  | £ |  | £ |
|  | £ |  | £ |
|  | £ |  | £ |
|  | £ |  | £ |
| **Sub-total (Part D)** | **£** |

**Part E – Full price offered**

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

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

**CODE OF PRACTICE FOR RESEARCH**

***Issued by the Department for Business, Energy and Industrial Strategy***

The Department has developed this Code of Practice from the Joint Code of Practice issued by BBSRC; the Department for Environment, Food and Rural Affairs (Defra); the Food Standards Agency; and the Natural Environment Research Council (NERC) which lays out a framework for the proper conduct of research. It sets out the key aspects of the research process and the importance of making judgements on the appropriate precautions needed in every research activity.

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

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

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

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

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

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

Code and its adoption should not require great effort.

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

All organisations contracting to the Department (including those sub-contracting as part of a consortium) will be expected to commit to upholding these responsibilities and will be expected to indicate acceptance of the Code when submitting proposals to the Department.

Contractors are encouraged to discuss with the Department any clauses in the Code that they consider inappropriate or unnecessary in the context of the proposed research project. The Code, and records of the discussions if held, will become part of the Terms and Conditions under which the research is funded.

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

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

Monitoring of compliance with the Code is necessary to ensure:

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

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

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

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

***SPECIFIC REQUIREMENTS IN THE CODE OF PRACTICE***

***1. Responsibilities***

All organisations contracting to the Department (including those sub-contracting as part of a consortium will be responsible for the overall quality of research they conducted. Managers, group leaders and supervisors have a responsibility to ensure a climate of good practice in the research teams, including a commitment to the development of scientific and technical skills.

The Principal Investigator or Project Leader is responsible for all the work conducted in the project including that of any subcontractors. All staff and students must have defined responsibilities in relation to the project and be aware of these responsibilities.

***2. Competence***

All personnel associated with the project must be competent to perform the technical, scientific and support tasks required of them. Personnel undergoing training must be supervised at a level such that the quality of the results is not compromised by the inexperience of the researcher.

***3. Project planning***

An appropriate level of risk assessment must be conducted to demonstrate awareness of the key factors that will influence the success of the project and the ability to meet its objectives. There must be a written project plan showing that these factors (including research design, statistical methods and others) have been addressed. Projects must be ethical and project plans must be agreed in collaboration with the Department, taking account of the requirements of ethical committees[[11]](#footnote-12) or the terms of project licences, if relevant.

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

***4. Quality Control***

The organisation must have planned processes in place to assure the quality of the research undertaken by its staff Projects must be subjected to formal reviews of an appropriate frequency. Final and interim outputs must always be accompanied by a statement of what quality control has been undertaken.

The authorisation of outputs and publications shall be as agreed by the Department, and subject to senior approval in the Department, where appropriate. Errors identified after publication must be notified to the Department and agreed corrective action initiated.

***5. Handling of samples and materials***

All samples and other experimental materials must be labelled (clearly, accurately, uniquely and durably), and retained for a period to be agreed by the Department. The storage and handling of the samples, materials and data must be as specified in the project plan (or proposal), and must be appropriate to their nature. If the storage conditions are critical, they must be monitored and recorded.

***6. Documentation of procedures and methods***

All the procedures and methods used in a research project must be documented, at least in the personal records of the researcher. This includes analytical and statistical procedures and the generation of a clear audit trial linking secondary processed information to primary data.

There must be a procedure for validation of research methods as fit for purpose, and modifications must be trackable through each stage of development of the method.

***7. Research/work records***

All records must be of sufficient quality to present a complete picture of the work performed, enabling it to be repeated if necessary.

The project leader is accountable for the validity of the wok and responsible for ensuring that regular reviews of the records of each researcher are conducted[[12]](#footnote-13)

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

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

1. BEIS (2020), Final UK greenhouse gas emissions from national statistics: 1990 to 2018: Supplementary tables [↑](#footnote-ref-2)
2. BEIS (2021), ‘Heat and Buildings Strategy’ (<https://www.gov.uk/government/publications/heat-and-buildings-strategy>) [↑](#footnote-ref-3)
3. BEIS (2021), ‘Industrial Decarbonisation Strategy’ ([https://www.gov.uk/government/publications/‌industrial‑decarbonisation-strategy](https://www.gov.uk/government/publications/industrialdecarbonisation-strategy)). [↑](#footnote-ref-4)
4. https://www.gov.uk/government/collections/national-energy-efficiency-data-need-framework [↑](#footnote-ref-5)
5. CaRB3 is an update to the CaRB2 classification for use in this project – A peer-reviewed research paper describing CaRB2 can be found here: <https://www.tandfonline.com/doi/full/10.1080/09613218.2017.1410424> [↑](#footnote-ref-6)
6. https://www.gov.uk/government/collections/quality-assurance-tools-and-guidance-in-decc [↑](#footnote-ref-7)
7. <https://the-turing-way.netlify.app/index.html> [↑](#footnote-ref-8)
8. Please note that this declaration applies to individuals, single organisations and consortia. [↑](#footnote-ref-9)
9. The Code of Practice is attached to this ITT as Annex B [↑](#footnote-ref-10)
10. Please delete as appropriate [↑](#footnote-ref-11)
11. Please note ethical approval does not remove the responsibility of the individual for ethical behaviour. [↑](#footnote-ref-12)
12. Please note that this also applies to projects being undertaken by consortia. [↑](#footnote-ref-13)