**Invitation to Tender for Cost of Capital Update for Electricity Generation, Storage and Demand Side Response Technologies**

Tender Reference Number: 1444/03/2018

Deadline for Tender Responses: 11am 29th March 2018

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

Date: 9th March 2018

The Department for Business, Energy & Industrial Strategy (“BEIS”) wishes to commission a project to update BEIS’ cost of capital estimates for electricity generation technologies, the results of which will form part of the inputs for BEIS’ own modelling of electricity generation costs .

Enclosed are the following sections:

* Section 1 (page 3) Instructions on tendering procedures
* Section 2 (page 8) Specification of requirements
* Section 3 (page 21) Further information on tendering procedure
* Section 4 (page 24) Declarations and information to be provided;

Statement of Non-Collusion

Form of Tender

Conflict of Interest

Standard Selection Questionnaire

* Annex A: Pricing schedule
* Annex B: List of Generation Technologies

Please register your interest in submitting a tender for this project by emailing John.Hunter@beis.gov.uk. This will ensure you receive immediate notification of updates to the ITT process or answers to questions raised by potential bidders.

Please read the instructions on the tendering procedures carefully since failure to comply with them may invalidate your tender. Your tender must be returned by **11am 29th March 2018** clearly marked as “TENDERfor Cost of Capital Update for Electricity Generation” in the email subject header

I look forward to receiving your response.

Yours sincerely,

John Hunter

Email: John.Hunter@beis.gov.uk

**Section 1**

**Instructions and Information on Tendering Procedures**

Invitation to Tender for Cost of Capital Update for Electricity Generation Technologies

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# Indicative Timetable

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

|  |  |
| --- | --- |
| **Tender Timeline** | **Date** |
| Advert and full invitation to tender issued | 09/03/18 |
| Deadline for questions relating to the tender | 16/03/18 |
| Responses to questions provided | 22/03/18 |
| Deadline for receipt of tender | 29/03/18 |
| Deadline for correspondance with suppliers for bid clarification, where necessary | 06/04/18 |
| All suppliers alerted of outcome | 11/04/18 |
| Contract award on signature by both parties | 19/04/18 |
|  |  |
| Contract start date | 23/04/18 |

We expect both Lots to last up to the end of June 2018 (as indicated in the outline timetable shown in Item 8 of Section 2 of this document), which allows for possible iteration of the final results. There is a possibility of further extension of either or both Lot(s) of up to two months, in case further iterations are required in light of new market information/events or if the business needs implyfurther revenue models need to be addressed within the framework (e.g. new models of storage, etc.).

# Procedure for Submitting Tenders

The maximum page limit for tenders is 30 pages (excluding declarations).

Please **email** your proposal **by 11am on the 29th March 2018** to John.Hunter@beis.gov.uk.

For questions regarding the procurement process please contact John Hunter (John.Hunter@beis.gov.uk).

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

BEIS shall have the right to disqualify you from the procurement if you fail to fully complete your response, or do not return all of the fully completed documentation and declarations requested in this ITT. BEIS shall also have the right to disqualify you if it later becomes aware of any omission or misrepresentation in your response to any question within this invitation to tender. If you require further information concerning the tender process, or the nature of the proposed contract, email John.Hunter@beis.gov.uk. All questions should be submitted by the 16th of March 2018; questions submitted after this date may not be answered. Should questions arise during the tendering period, which in our judgement are of material significance, we will publish these questions with our formal reply by the end of 22nd of March 2018 and circulate – unnamed - to all organisations that have expressed an interest in bidding. All contractors should then take that reply into consideration when preparing their own bids, and we will evaluate bids on the assumption that they have done so.

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

# Conflict of Interest

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

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

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

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

1. **During the bidding process, organisations may contact BEIS to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.** Any responses given to individual organisations or consortia will be published on contract finder (in a form which does not reveal the questioner’s identity). Any organisation thinking of submitting a bid, should share their contact details with the staff member responsible for this procurement, to ensure they receive an update when any responses to questions are published.
2. **Contractors are asked to sign and return Declaration 3 (page 27) to indicate whether or not any conflict of interest may be, or be perceived to be, an issue.** If this is the case, the contractor or consortium should give a full account of the actions or processes that it will use to ensure that conflict of interest is avoided. In any statement of mitigating actions, contractors are expected to outline how they propose to achieve a robust, impartial and credible approach to the research.
3. **When tenders are scored, this declaration will be subject to a pass/fail score**, according to whether, on the basis of the information in the proposal and declaration, there remains a conflict of interest which may affect the impartiality of the research.

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

# Evaluation of Responses

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

# Terms and conditions applying to this Invitation to Tender

The Department’s Standard Terms and Conditions of Contract will apply to this contract. These can be downloaded from Contracts Finder.

The Standard Terms shall be amended as follows

18 (7) Except in relation to death or personal injury as referred to in Condition 18(1), and subject to Conditions 18(5) and 30(6) the amount of liability under this clause shall be limited to a sum of £1,000,000 or twice the contract value, whichever is the greater, or such other sum as may be agreed in writing between the Head of Procurement on behalf of the Authority and the Contractor.

These amendments are for the purposes of this Contract only and do not set a precedent for future contracts between the Contractor and the Authority.

# 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 March 2018. Where amendments are significant, the Department may at its discretion extend the deadline for receipt of tenders.

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

# Checklist of Documents to be Returned

* Proposal (maximum 30 pages)
* Annex A – pricing schedule
* Declaration 1: Statement of non-collusion
* Declaration 2: Form of Tender
* Declaration 3: Conflict of Interest
* Declaration 4: Standard Selection Questionnaire

**Section 2**

**Specification of Requirements**

Invitation to Tender for Cost of Capital Update for Electricity Generation Technologies

Tender Reference Number: 1444/03/2018

Deadline for Tender Responses: 11am 29th March 2018

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# Introduction and summary of requirements

The Department for Business, Energy and Industrial Strategy (“BEIS”) wishes to commission analysis on the Hurdle Rates / Cost of Capital for investments in renewable and non-renewable electricity generation, storage and Demand Side Reduction technologies. In proposing a suitable methodology, the contractor/s must address the questions and/or aims and objectives outlined in section 3. The project will comprise the following distinct Lots:

Lot 1: Core Analysis

Revision of the evidence on financing costs of generation technologies building on the NERA report commissioned by DECC in 2015 and recent updates by regulators. The successful bidder will need to take into account changes in the macroeconomic factors such as expectations of risk-free rate, equity risk premia as well as technology specific risks due to learning and technology maturity (where appropriate) since the last update. The output will be a report of a quality that can be published as well as data tables and models produced in line with BEIS’s quality assurance standards, for the benefit of the wider department and the peer reviewer. We expect the bulk of the work on this Lot to be required between late-April and mid-June and we would require bidders to confirm their availability over this period. The outline timetable is shown in Item 8 of this Section 2. There is the potential for further extension after the final presentation in light of new policy requests or market information. The successful bidder will be required to work closely in a Working Group with BEIS colleagues over the course of the project to ensure feedback on methodology and assumptions could be provided by BEIS in an efficient manner, especially keeping in mind the tight timelines of the project.

Lot 2: Peer Review

Independent peer review of the outputs produced in Lot 1. The successful bidder will scrutinise the Core Analysis and provide constructive methodological/technical challenge of the work along with suggestions for improvement or qualification of the results. The timelines for peer review are tight - the peer reviewer will have roughly two weeks, one week to scrutinise the interim report and another to scrutinise the final report. We expect the bulk of the work on this Lot to be called for between mid-May and mid-June and we would require the successful supplier to confirm their availability over this period. The output will be a report detailing the reviewer’s scrutiny and findings. The outline timetable is shown in Item 8 of this Section 2.

Bidders should explicitly state which lots they are bidding for. Interested parties will be able to bid for both lots, but can be successful in only one and must therefore explicitly state their preference. If the same party comes at the top in evaluation for both Lots, they will be deemed successful for their preferred lot and the second placed candidate will be appointed to the other Lot (assuming they pass the selection criteria). Unless the bidder states an explicit preference for Lot 2, BEIS will assume that the bidder would prefer to undertake Lot 1. We expect these contracts to last for four months, with the possibility of further extension of up to two months in case further iterations are required due to business needs or in light of new market information/events.

# Background

BEIS routinely monitors the cost of electricity generation by different technologies to support policy work by the Department. Accurate estimates of generation costs are essential to ensuring that consumers and taxpayers receive value for money from support provided by BEIS. As part of this ongoing monitoring, the Department is looking to update their evidence base on financing costs for different technologies.

Costs of financing are captured by BEIS using assumptions on ‘hurdle rates’. Hurdle rates are defined as the minimum project Internal Rate of Return (IRR) at which investments will proceed. This would generally reflect the weighted average cost of capital, but may also reflect returns realisable from alternative investment opportunities available to the developer and the risk of particular technologies or projects. The most recent report on hurdle rates commissioned by BEIS was produced by NERA, and the assumptions developed in this work were used in the 2016 DECC Generation Costs Report[[1]](#footnote-1). The final reports from the successful contractor(s) will be used to update the BEIS evidence base on generation costs (and utilised in BEIS’ modelling of generation costs) and may be published in the second half of 2018.

# Aims and Objectives

The overall purpose of the project is to update the BEIS evidence base on the hurdle rates for renewable and non-renewable electricity generation, storage and DSR technologies.There are a number of key objectives and questions that the work should address. These are listed as follows. We require **bidders’ proposals to explicitly address how they will meet each of these aims and objectives:**

Lot 1: Core Analysis

What are the most suitable estimates of Cost of Capital for each of the electricity generation, storage and DSR technologies (see Annex B) that compensate investors for the risks they perceive, taking account of:

* Capital and operating cost profiles of investments and projects’ economic lives
* Revenue levels, volatilities, certainty and visibility (including the nature and length of agreements available in the market)
* Returns or risk premia on alternative investment opportunities (such as bonds, listed equities, etc.) using a framework such as CAPM or similar
* Impact of macroeconomic factors such as BoE base rates and inflation expectations
* Recent evidence and analysis from cost of capital assessments by regulators used to deduce regulated rate of returns
* Deductions from outcomes of recent Contract for Difference (CFD) and Capacity Market (CM) auctions[[2]](#footnote-2)

As noted in Annex B, while BEIS anticpates that detailed analysis (using bottom-up determination of betas, etc.) should be undertaken for major technology classes (such as Offshore Wind, Onshore Wind, Solar, merchant CCGTs, battery storage and DSR), it is also recognised that this may be impractical for the full list of generation technologies and that a more qualitative approach or groupings may be necessary, based on technology charateristics or revenue structures. Bidders should outline their proposed approach in their tenders. Bidders should also note in their tenders, if they consider they would be unable to offer a view in respect of certain specific technologies.

Estimates of Cost of Capital should be reflective of the project IRRs (as opposed to equity IRRs) as assessed at project start (i.e. inclusive of development costs), specified on a pre-tax real basis. During the course of the Core Analysis, the appointee(s) will be required to work closely with BEIS personnel under the remit of a dedicated *Working Group*, while assuming responsibility for delivery and reporting to the BEIS Cost of Capital Advisory Panel.

Estimates of cost of capital should be provided for technologies assuming projects are taking investrment decisions at this point in time. However, BEIS would wish the contractors to also consider the factors leading to future changes to the cost of capital as technologies or as business models evolve and to provide scenarios for how hurdle rates may evolve through the next decade for relevant technologies.

Lot 2:

Are the results (emerging results) from Lot 1 reasonable and reflective of consistent application of a suitable methodology? Do they take, as far as practical, good account of all significant data and evidence, paying particular attention to:

* Suitability and consistent application of the methodology and data sets employed
* Consistency with approaches taken by market participants and regulators to the extent evidence for this is available
* Possibility and direction of bias inherent in the estimates (if any) and any qualifications or adjustments that may be necessary before the results can be used by BEIS in their analysis
* The extent to which the results of Lot 1 support / concur with recent experiences (outcomes of CFD and CM auctions, support levels required)
* The extent to which the set of cost of capital estimates is internally consistent and accurately reflects the relativity of risks inherent in individual technologies

# Methodology

**Lot 1: Core Analysis**

**Given the timeframe and budget for this project, BEIS believes a methodology that builds on and is consistent with the recent research and publications in this area is desirable. The supplier may wish to use a framework such as the Capital Asset Pricing Model (CAPM) that is widely used or similar as their starting point. While we encourage detailed analysis (using bottom-up determination of betas, etc.) for major technology classes (such as Offshore Wind, Onshore Wind, Solar, merchant CCGTs, battery storage and DSR) we understand that a more qualitative approach may be necessary for the others based on technology charateristics or revenue structures. Where there is limited experience of recent investments in certain technology classes, analogies with investments in other industries or markets that have similar risk profiles may be considered. Where assumptions on policy support or revenue structure is crucial to determination of the Cost of Capital, as will be the case in general, such assumptions will have to be explicitly stated and agreed with BEIS Working Group in the early stages of the project.**

While we expect the appointees to make the best use of the datasets they have at their disposal or are publicly available, there may be some further data requirements that will require external procurement for the purposes of this project. Bidders are required to state such requirements as part of their bids along with their cost estimates. To ensure BEIS retains ownership of such data sources, we will seek to procure these and make them available to the appointees for use exclusively for purposes of this project.

Lot 2: Peer Review

The peer reviewer will scrutinise the Core Analysis and provide constructive methodological/technical challenge of the work along with suggestions for improvement or qualifaction of the results. While we expect the work to be mostly qualitative, the reviewer may consider substantiating some of their their arguments with analysis or calculations. Any issues that are found during the review will have to be accompanied by practical suggestions on mitigation.

# Outputs Required

Lot 1: Core Analysis

The key output will be a spreadsheet containing quantitative range and mid-point estimates of Hurdle Rates of individual generation technologies consistent with market sentiment and perceptions of risk. This data is to be accompanied by a comprehensive document providng a narrative around these estimates and detailing the methodology; together with relevant references to the assumptions made and sources of data used.

The following outputs will be required at agreed milestones:

* Agreed plan for the project with BEIS (including details, and timing, of deliverables).
* Quality assurance plan, including details of who will sign off outputs, and their role within the contractor’s organisation[[3]](#footnote-3)
* Emerging numerical results (median estimates and ranges) accompanied by draft report and models used
* Final numerical results (median estimates and ranges) in a spreadsheet as well as quality assured models
* Final report for publication (to also include detailed assumptions and showing how the QA requirements have been met)

**Regular meetings and email updates with an agreed minimum frequency. The suggested meeting frequency will vary by project is at a minimum of every two weeks and more frequently as required. This will be particularly important given the tight timescales for this project.** A final report must be produced in accordance with BEIS report writing guidance attached in the Annex. Reports must be produced of a sufficiently high standard to be published. Our experience shows that this may require several drafts and this should be taken into account when considering timelines and costs. To demonstrate relevant experience in producing high quality reporting, contactors must:

* specify who in the project team will be responsible for drafting the report; and
* specify who will be responsible for quality assurance before it comes to BEIS;

Bidders should be aware that the final reports resulting from this project may be made publicly available after the completion of the project.

Lot 2: Peer Review

The key outputs will be an interim report by the peer reviewer suggesting improvements to the emerging results from the work undertaken by the Working Group accompanied by a discussion with the Advisory Panel, and a final report providing expert review and / or qualifications (where needed) on the deliverable from Lot 1. The final report must be produced in accordance with BEIS report writing guidance attached in the Annex.

The Peer Reviewer will be required to attend a discussion with the Advisory Panel following or close to conclusion of their final report.

# Ownership and Publication

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

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

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

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

# Quality Assurance

This project must comply where applicable with the Code of Practice for Official Statistics[[4]](#footnote-4) and bidders must set out their approach to quality assurance in their response to this ITT.

In this regard, contractors are required to agree a **quality assurance (QA) plan** with BEIS, which should specify who will be responsible for quality assurance before it comes to BEIS. This will help ensure that the quality assurance undertaken is consistent with BEIS Policy on Quality Assurance of Evidence and Analysis. To demonstrate relevant experience in producing high quality reporting, the following quality assurance points are expected to be built into the QA plan:

* Expert reviewers are engaged throughout the project where appropriate. QA should be done, where appropriate, for assumptions, methodologies, interim outputs, data collection instruments, models or modelling, draft and final reports etc.
* As appropriate, quality assurance related to models and input assumptions and parameters should be consistent with the published BEIS QA guidance for models[[5]](#footnote-5) (refer to the requirement for an input and assumptions log above as one of the project outputs).
* Comments on how data has been imported, transformed or processed should be included.
* Analytical risks are recorded in the risk register during the project, and contractor communicates evidence risks to BEIS.
* BEIS will arrange an independent peer reviewer of the updated assumptions. BEIS expects that the bidder for Lot 1 will take peer review comments into account before the report is finalised.
* Quality assurance is done by individuals who were not directly involved in the research, analysis or model development
	+ The QA must include checking of values against primary references for potential copying errors.
* Sign-off for the quality assurance must be done by someone of sufficient seniority within the contractor organisation to be able take responsibility for the work done. Acceptance of the work by BEIS will take this into consideration. BEIS reserves the right to refuse to sign off outputs which do not meet the required standard specified in this invitation to tender.
* Relevant BEIS officials will be provided with the opportunity to comment and undertake its own quality assurance at key project steps, with these comments considered by the successful contractor/s.

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

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

* [The Green Book](https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-governent): appraisal and evaluation in central government.
* [UK Statistics Authority Code of Practice](https://www.statisticsauthority.gov.uk/osr/code-of-practice/)/ or an equivalent standard.
* [The Magenta Book](http://www.hm-treasury.gov.uk/data_magentabook_index.htm): Government guidance on policy evaluation and analysis.
* [Quality in Qualitative Evaluation: A Framework for assessing research evidence](https://www.gov.uk/government/publications/government-social-research-framework-for-assessing-research-evidence) provides a Framework for appraising the quality of qualitative evaluations.
* [Rapid Evidence Assessment](https://www.gov.uk/government/collections/rapid-evidence-assessments) (REA). This toolkit will help researchers to identify whether a Rapid Evidence Assessment is best for their needs, and help with the process of planning and carrying out a review

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

# Timetable

Tenders may amend the timetable or suggest an alternative approach to the update as long as the end dates above are met. However, if bidders do not think that the above timetable is possible, they should also indicate what they consider could be covered in the time available.

Final details and changes to this timetable and the above deliverable dates must be agreed with BEIS.

|  |  |
| --- | --- |
| **Milestone** | **Date** |
| All suppliers alerted of outcome | 11/04/18 |
| Contract award on signature by both parties | 19/04/18 |
| Contract start / project kick-off | 23/04/18 |
| Presentation of interim results to the Advisory Panel | 14/05/18 |
| Peer reviewer’s opinion on interim results | 21/05/18 |
| Presentation of final results to the Advisory Panel | 31/05/18 |
| Peer reviewer’s opinion and report on final results (and allowance for further iterations) | 08/06/18 (30/06/18) |

Bidders for each Lot should allow for a total of up to 5 meetings at BEIS, including the inception meeting (on or around 23rd April) and a presentation of the final results. For Lot1 in particular, a meeting may be required between contract start and presentation of interim resulst, to agree details regarding the proposed methodology. There may also be further interim milestones besides the ones listed above, dates for which will have to be agreed with BEIS.

# Challenges

The project has a challenging timetable and the required coverage in terms of the number of technologies and revenue models wide. When developing their methodology, bidders are encouraged to set out clearly what elements of the ITT constitute, in their opinion, a minimum viable product. Bids should also set out options for deprioritising elements not in the minimum viable product. This can be further discussed at the Bid Clarification Stage or at project kick-off.

We expect the results of the analysis to be published and heavily scrutinised by the industry and other stakeholders including those concerned with safeguarding interests of consumers. The analysis, methodology and assumptions will need to be robust enough to withstand such scrutiny and be consistent experiences in other markets as well as recent results of CFD and CM auctions in the GB market.

To ensure that the results are easy to incorporate into BEIS’s existing electricity market modelling capability, the contractor will be expected to provide the results in a format which can be used directly in BEIS modelling (e.g. providing hurdle rates in pre-tax real terms).

#  Ethics

All applicants will need to identify and propose arrangements for initial scrutiny and on-going monitoring of ethical issues. The appropriate handling of ethical issues is part of the tender assessment exercise and proposals will be evaluated on this as part of the ‘addressing challenges and risks’ criterion.

We expect contractors to adhere to the following GSR Principles:

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

# Working Arrangements

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

# Skills and experience

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

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

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

# Consortium Bids

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

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

If a consortium is not proposing to form a corporate entity, full details of alternative proposed arrangements should be provided in the Annex. However, please note the Department reserves the right to require a successful consortium to form a single legal entity in accordance with Regulation 28 of the Public Contracts Regulations 2006.

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

# Budget

The budget for Lot 1: Core Analysis is **upto £31,500** excluding VAT.

The budget for Lot 2: Peer Review is **upto £12,500** excluding VAT.

The contracts will be allocated on a “fixed price” basis, however contractors should provide a full and detailed breakdown of their costs assumptions and make-up. This will essentially include include assumptions on staff day rates, cost of materials, data and travel. Cost will be a criterion against which bids which will be assessed. Should any further work beyond the original scope of the project but on the subject of Cost of Capital be required, the duration of such work will be compensated at these stated day rates and in any case shall not exceed 5 person days.

Payments will be linked to delivery of the key milestones of interim and final reports for the respective Lots. 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, bidders confirm in writing that the price offered will be held for a minimum of 60 calendar days from the date of submission. Any payment conditions applicable to the prime contractor must also be replicated with sub-contractors.

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

# Evaluation of Tenders

Contractors are invited to submit full tenders of no more than 30 pages, excluding declarations. Tenders will be evaluated by at least three BEIS staff.

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

* **Conflict of interest:** pass/fail. See page 5 of the ITT for further information

**EVALUATION CRITERIA AND SCORING METHODOLOGY**

|  |  |  |
| --- | --- | --- |
| Criterion | Description | Weighting |
| **1. Understanding the requirement** | Demonstrate understanding of the requirements to update BEIS’ assumptions on the hurdle rate of different technologies. |  | **15%** |
| **2. Methodology and coverage of outputs** | Clearly demonstrate a rigorous and transparent methodology to be used for delivery of the core outputs, specifically:* use of standard frameworks such as CAPM or multi-factor models
* adaptation of such frameworks for specific requirements of the project and handling any exceptions
* awareness of how such issues are dealt with by market participants (investors, lenders and regulators)
* robustness of data sources (where applicable)
 | 10%10%10%5% | **35%** |
| **3. Skills and expertise** | Experience/demonstration of relevant skills and supply a competent individual or team of individuals with the capability to fulfil this requirement; specifically:* recent work delivered or published on the subject of cost of capital
* skills and demonstrated capability of the named personnel that will be working on the project
* experience specific to electricity markets and generation technologies
 | 10%10%10% | **30%** |
| **4. Management and delivery** | Effective quality, relevance and breadth of management oversight processes, including work planning, budget control, effective working arrangements, an appropriate level of input from each skillset, quality assurance (including adherence to BEIS QA requirements) and on-going risk management/identification. |  | **10%** |
| **5. Cost**  | Price. More detail in scoring method below. |  | **10%** |

**Scoring Method**

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

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

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

**Scoring for Evaluation the Pricing element of bids**

There will be a maximum of 10 marks.

The lowest priced bid will receive the full 10 marks, all other bids will then be marked as set out below.

Proportionate Pricing scoring example

If 10% = 10 marks

|  |  |  |
| --- | --- | --- |
| Supplier | Price | Marks |
| 1 (lowest bid) | £20,000 | 10 |
| 2 | £25,000 | 10/25 \* 20 = 8 |
| 3 | £30,000 | 10/30 \* 20 = 6.67 |

**Structure of Tenders**

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

**Bid Clarification**

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

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

**Feedback**

Feedback will be given in the unsuccessful letters or emails.

**Section 3**

**Further Information on Tender Procedure**

Invitation to Tender for Cost of Capital Update for Electricity Generation Technologies

Tender Reference Number: 1444/03/2018

Deadline for Tender Responses: 11am 29th March 2018

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C. [Non-Collusion](#_Non-Collusion) 23

# Definitions

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

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

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

# Data security

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

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

# Non-Collusion

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

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

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

**Section 4**

**Declarations to be submitted by the Tenderer**

Invitation to Tender for Cost of Capital Update for Electricity Generation Technologies

Tender Reference Number: 1444/03/2018

Deadline for Tender Responses: 11am 29th March 2018

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Declaration 2: Form of Tender 26

Declaration 3: Conflict of Interest 27

Declaration 4: Standard Selection Questionnaire Declaration 1: Statement of non-collusion

To: The Department for Business, Energy & Industrial Strategy

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

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

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

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

……………………………………………………………………………….….

Signature (duly authorised on behalf of the tenderer)

……….………………………………………………………………………….

Print name

…………………………………………………………….…………………….

On behalf of (organisation name)

…………………………………………………………………….…………….

Date

# Declaration 2: Form of Tender

To: The Department for Business, Energy & Industrial Strategy

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

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

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

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

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

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

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

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

…………………………………………………………………………........

Signature (duly authorised on behalf of the tenderer)

…………………………………………………………………………………

Print name

………………………………………………………………………….

On behalf of (organisation name)

………………………………………………………………………….

Date

# Declaration 3: Conflict of Interest

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

Signed …………………………………….

Name …………………………………….

Position …………………………………….

***OR***

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

* X
* X

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

* X
* X

Signed …………………………………….

Name …………………………………….

Position …………………………………….

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

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

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

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

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

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

# Declaration 4: Standard Selection Questionnaire

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

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion[[6]](#footnote-6). If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

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

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

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

**Supplier Selection Questions: Part 3**

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

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

**Consequences of misrepresentation**

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

**Cost of Capital Update for Electricity Generation, Storage and Demand Side Response Technologies TRN: 1444/03/2018**

**PROCUREMENT PROCEDURE: OPEN**

**Notes for completion**

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.
6. **Note for Contracting Authorities: The following paragraph is optional for inclusion if a decision has been made to request a self-declaration of the exclusion grounds from sub-contractors.** *All sub-contractors are required to complete Part 1 and Part 2[[7]](#footnote-7).*
7. For answers to Part 3 -If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

The authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

**Part 1: Potential supplier Information**

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

|  |  |
| --- | --- |
| Section 1 | Potential supplier information |
| Question number | Question | Response |
| 1.1(a) | Full name of the potential supplier submitting the information |  |
| 1.1(b) – (i) | Registered office address (if applicable) |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status 1. public limited company
2. limited company
3. limited liability partnership
4. other partnership
5. sole trader
6. third sector
7. other (please specify your trading status)
 |  |
| 1.1(d) | Date of registration in country of origin |  |
| 1.1(e) | Company registration number (if applicable) |  |
| 1.1(f) | Charity registration number (if applicable) |  |
| 1.1(g) | Head office DUNS number (if applicable) |  |
| 1.1(h) | Registered VAT number  |  |
| 1.1(i) - (i) | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | Yes ☐No ☐N/A ☐ |
| 1.1(i) - (ii) | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement? | Yes ☐No ☐ |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |  |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement |  |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one)1. Voluntary Community Social Enterprise (VCSE)
2. Sheltered Workshop
3. Public service mutual
 |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[8]](#footnote-8)? | Yes ☐No ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[9]](#footnote-9) - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - Which conditions for being a PSC are met;  - Over 25% up to (and including) 50%,  - More than 50% and less than 75%,  - 75% or more. [[10]](#footnote-10)(Please enter N/A if not applicable) |  |
| 1.1(o) | Details of immediate parent company: - Full name of the immediate parent company- Registered office address (if applicable)- Registration number (if applicable)- Head office DUNS number (if applicable)- Head office VAT number (if applicable)(Please enter N/A if not applicable) |  |
| 1.1(p) | Details of ultimate parent company:- Full name of the ultimate parent company- Registered office address (if applicable)- Registration number (if applicable)- Head office DUNS number (if applicable)- Head office VAT number (if applicable)(Please enter N/A if not applicable) |  |

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

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

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

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

 |

**Contact details and declaration**

I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate.

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

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

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

I am aware of the consequences of serious misrepresentation.

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

**Part 2: Exclusion Grounds**

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

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

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

|  |  |
| --- | --- |
| Section 3 | Grounds for discretionary exclusion  |
|  | Question | Response |
| 3.1 | **Regulation 57 (8)**The detailed grounds for discretionary exclusion of an organisation are set out on this [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions. Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. |
| 3.1(a) | Breach of environmental obligations?  | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations?  | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations?  | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(d) | Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(i) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | Yes ☐No ☐If yes please provide details at 3.2 |
| 3.1(j)3.1(j) - (i)3.1(j) - (ii)3.1(j) –(iii)3.1(j)-(iv) | Please answer the following statementsThe organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.The organisation has withheld such information. The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes ☐No ☐If Yes please provide details at 3.2Yes ☐No ☐If Yes please provide details at 3.2Yes ☐No ☐If Yes please provide details at 3.2Yes ☐No ☐If Yes please provide details at 3.2 |

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

**Part 3: Selection Questions**[[11]](#footnote-11)

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

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

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

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| **Section 6** | **Technical and Professional Ability**  |
| **6.1** | **Relevant experience and contract examples**Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.If you cannot provide examples see question 6.3 |

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

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| **6.2** | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s)Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries) |
|  |  |

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

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| **Section 7** | **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015[[12]](#footnote-12)** |
| **7.1** | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | Yes ☐N/A ☐ |
| **7.2** | If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | Yes ☐Please provide relevant the url …No ☐Please provide an explanation |

**8. Additional Questions**

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

|  |  |
| --- | --- |
| **Section 8** | **Additional Questions**  |
| **8.1** | **Insurance** |
| a. | Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below: Y/N Employer’s (Compulsory) Liability Insurance (Minimum level of £5 million as stated below)Public Liability Insurance = £ 1 millionProfessional Indemnity Insurance = £1 million\*It is a legal requirement that all companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders. |

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| **8.4** | **Suppliers’ Past Performance[[13]](#footnote-13) - (please refer to supplier selection guidance - this question should only be included by central government contracting authorities)**  |
| **a.** | Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years? | Yes ☐No ☐ |
| **b.** | On request can you provide a certificate from those customers on the list?  | Yes ☐No ☐ |
| **c.** | If you cannot obtain a certificate from a customer can you explain the reasons why? | Yes ☐No ☐ |
| **d.** | If the certificate states that goods and/or services supplied were not satisfactory are you able to supply information which shows why this will not recur in this contract if you are awarded it?  | Yes ☐No ☐ |
| **e.** | Can you supply the information in questions a. to d. above for any sub-contractors [or consortium members] who you are relying upon to perform this contract?  | Yes ☐No ☐ |

**Annex C**

**Mandatory Exclusion Grounds**

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

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

**Participation in a criminal organisation**

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

Conspiracy within the meaning of

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

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

**Corruption**

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

The common law offence of bribery;

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

**Fraud**

Any of the following offences, where the offence relates to fraud affecting the European Communities’ financial interests as defined by Article 1 of the convention on the protection of the financial interests of the European Communities:

* the common law offence of cheating the Revenue;
* the common law offence of conspiracy to defraud;
* fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
* fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
* fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;
* an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
* destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;
* fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;
* the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;

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

Any offence:

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

**Money laundering or terrorist financing**

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

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

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

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

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

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

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

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

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

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

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

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

**Other offences**

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

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

**Discretionary exclusions**

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

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

* Where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years.
* In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination.
* In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).
* Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has been in breach of the National Minimum Wage Act 1998.

**Bankruptcy, insolvency**

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

**Grave professional misconduct**

Guilty of grave professional misconduct

**Distortion of competition**

Entered into agreements with other economic operators aimed at distorting competition

**Conflict of interest**

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

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

**Prior performance issues**

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

**Misrepresentation and undue influence**

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

Additional exclusion grounds

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

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

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

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

**Consequences of misrepresentation**

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

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

#

**Annex A: Pricing Schedule Lot 1**

***Please complete this Pricing Schedule for Lot 1***

**Part A – Staff/project team charges: Lot Number: 1**

**All prices to be quoted exclusive of VAT**

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

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

[\*Suppliers should also include sub-contractors]

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

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

**Part C – Full price offered**

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

**Annex A: Pricing Schedule Lot 2**

***Please complete this Pricing Schedule for Lot 2***

**Part A – Staff/project team charges: Lot Number: 2**

**All prices to be quoted exclusive of VAT**

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

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

[\*Suppliers should also include sub-contractors]

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

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

**Part C – Full price offered**

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

**Annex B: List of Technologies**

**Generation Technology Type**

Solar PV >5MW

Dedicated Biomass >100MW

Dedicated Biomass 5-100MW

Biomass CHP

Biomass Conversion

Onshore Wind >5MW

ACT standard
ACT advanced

ACT CHP

AD >5MW

AD CHP

EfW CHP

EfW

Landfill

Sewage Gas

Hydro >5MW

Hydro large storage

Wave

Tidal stream

Geothermal CHP

CCGT

CCGT IED retrofit

CCGT CHP

OCGT

Reciprocating engine (gas and diesel)

Coal IED retrofit

CCS Gas – CCGT

CCS Coal

CCS Biomass

Storage Technologies (covering a range of durations/ business models and technology maturities)

Demand Side Response

Note: While we encourage detailed analysis (using bottom-up determination of betas, etc.) for major technology classes (such as Offshore Wind, Onshore Wind, Solar, merchant CCGTs, battery storage and DSR) we understand that a more qualitative approach or groupings may be necessary for the others based on technology charateristics or revenue structures. Bidders should outline their proposed approach in their tenders. Bidders should also note in their tenders, if they consider they would be unable to offer a view in respect of certain specific technologies.

1. NERA report on costs of capital: <https://www.gov.uk/government/publications/nera-2015-hurdle-rates-update-for-generation-technologies>

2016 BEIS Generation Costs report: <https://www.gov.uk/government/publications/beis-electricity-generation-costs-november-2016> [↑](#footnote-ref-1)
2. BEIS can make available to successful contractors high level factual analysis of the results of Capacity Market and CfD auctions [↑](#footnote-ref-2)
3. https://www.gov.uk/government/organisations/department-of-energy-climate-change/about/procurement#analytical-modelling [↑](#footnote-ref-3)
4. http://www.statisticsauthority.gov.uk/assessment/code-of-practice/index.html [↑](#footnote-ref-4)
5. <https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/384595/decc_qa_guidance_for_models.pdf> [↑](#footnote-ref-5)
6. For the list of exclusion please see https://www.gov.uk/government/uploads/system/uploads/attachment\_data/file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf [↑](#footnote-ref-6)
7. See PCR 2015 regulations 71 (8)-(9) [↑](#footnote-ref-7)
8. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-8)
9. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-9)
10. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-10)
11. [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-11)
12. [Procurement Policy Note 9/16 Modern Slavery Act 2015](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-12)
13. [Procurement Policy Note 04/15 Taking Account of Suppliers’ Past Performance](https://www.gov.uk/government/publications/procurement-policy-note-0415-taking-account-of-suppliers-past-performance) [↑](#footnote-ref-13)