Annex 5: Application Form

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| **Department of Business, Energy and Industrial Strategy**  SBRI Commercial Hydrogen Appliance, Boiler Cascade, and Ancillary Component Development Competition (Hy4Heat - Work Package 5b)  TRN: 1996/07/2019  **Application Form**    **Closing Date:** Friday 13 September 2019, 12 Noon |

|  |
| --- |
| **Lead applicant:** |

|  |
| --- |
| **Project name:** |

|  |
| --- |
| **Lot / Sub-lot (including lot/sub-lot description):** |

|  |
| --- |
| **Date:** |

**Contact for enquiries**

**Department of Business, Energy and Industrial Strategy (BEIS)**

**Email:** [builtenvironmentinnovation@beis.gov.uk](mailto:builtenvironmentinnovation@beis.gov.uk)

**Possible disclosure of information provided in response to this Competition**

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.

**Non-Collusion**

No tender will be considered for acceptance if the contractor has indulged or attempted to indulge in any corrupt practice or canvassed the tender with an officer of the Department. Declaration 1 contains a "Statement of non-collusion"; 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.

**Application Guidance**

**Applicants are urged to read all sections of this ITT carefully before completing this form and are asked to ensure that they provide sufficient information to demonstrate compliance with the Eligibility Criteria and the Evaluation Criteria.**

**Applicants are encouraged to write self-contained responses, using the guidance provided to limit the size of the application. Applicants may annex additional material if it is relevant to the evaluation criteria and materially strengthens the application. Applicants are requested to maintain the structure of the application form.**

**Applications should detail plans across all phases of the Competition.**

**This application has the following sections:**

**A. Application Form: Summary Information**

**B. Application Form: Proposal Details**

**C. Declarations**

**A. Application Form: Summary Information**

|  |  |
| --- | --- |
| **Summary Information** | |
| Project Name |  |
| Lot  *(delete as appropriate)* | Lot 1: Catering & Production Heating  Lot 2: Dry Space Heating  Lot 3: Wet Space Heating  Lot 4: Combined Heat and Power  Lot 5: Ancillary System Components |
| Sub-lot  *(delete as appropriate)* | Lot 1A: ≤15 kW  Lot 1B: 15-30 kW  Lot 1C: ≥30 kW  Lot 2A: ≤50 kW  Lot 2B: 50-120 kW  Lot 3A: Burner integrated with a shell boiler (>400 kW)  Lot 3B: Control for a boiler cascade (<400 kW)  Lot 4: N/A  Lot 5: N/A |
| Appliance Type  *(delete as appropriate)*  *(Only applicable to Lot 1, 2, 3A and 4)* | 1. Hydrogen only 2. Dual Fuel 3. Hydrogen ready 4. Adaptable |
| Appliance requirements achieved  *(delete as appropriate)*  *(Only applicable to Lot 1, 2, 3A and 4)* | 1. Core 2. Core+ |
| Project Summary | Please provide a brief summary of your proposed project, clearly demonstrating that the proposal is in scope, and the key outputs of the project will be achieved. |
| List of Annexes |  |
| Contract Duration |  |
| Proposed Start Date |  |

*Application form continues on the next page*

|  |  |
| --- | --- |
| **Lead applicant details** | |
| Registered name |  |
| Registered address |  |
| Company registration No. |  |
| VAT registration No. |  |
| Country |  |
| Region |  |
| No. of employees |  |
| Main activity |  |
| Business sector |  |
| Organisation type |  |
| Website |  |
| **Lead contact details** | |
| Name |  |
| Position |  |
| Organisation |  |
| Correspondence address |  |
| Telephone |  |
| Email |  |

*Application form continues on the next page*

1. **Application Form: Proposal Details**

**Please note that items B1, B2 and B3 must be a maximum of 15 A4 pages, Arial font minimum size 12pt with single spacing and minimum 2.5cm margins.**

**B1. Skills and Expertise - Applicable to all lots**

**Word limit – 10,000**

|  |
| --- |
| **Total score 20** |
| 1. Evidence that the team has relevant skills and expertise to undertake the project, including demonstrating capability of working with hydrogen and/or town gas   *(weighting x 2);*   1. Details of project team including organisational structure. If your bid is a consortium, this should clearly state the consortium lead and details of each consortium member and their role   *(weighting x 1);*   1. Evidence of appropriate facilities (either existing or planned) that are required to undertake the project   *(weighting x 1).* |
|  |

*Application form continues on the next page*

**B2i. Technical Approach: Appliance development (Lot 1, 2, 3A and 4)**

|  |
| --- |
| **Total score 35** |
| 1. Provide a clear description of the proposed hydrogen appliance. Describe the approach and methodologies that will be applied to address the challenges defined in the ITT and any others which may be considered relevant   *(weighting x 2);*   1. Provide justification for the development of the proposed appliance and how this meets the requirements set out in the ITT, specifically Section 1.3 objectives. Where a reference appliance is applicable this should be based on sales, market share and future market trends. This should include: 2. Photo/picture of base line reference appliance 3. Technical specification 4. Installation instructions 5. User instructions   *(Installation and user instructions may be provided as appendices)*  *(weighting x 2);*   1. Demonstrate how your proposal provides further value by developing ‘dual fuel’, ‘hydrogen ready’ or ‘adaptable’ variants to simplify the switch-over process or transition to hydrogen   *(weighting x 2);*   1. Include evidence that you understand the risks associated with hydrogen use and, in comparison to natural gas include reference to risks outlined in Section 10.1   *(weighting x 1).*  *NB – only text written within the page limit will be assessed and marked. Documents may be referenced, and detail included in an appendix to provide supporting evidence to an answer. Please note that the appendix documents themselves will not be assessed. Those documents may include:*   * *Standard documents for reference appliance technical specification (Q.2b)* * *Standard documents for reference appliance installation instructions (Q.2b)* * *Letters of support or Memorandum of Understanding (MOU) (Q.2d)*   **Appendix documents are excluded from the page limit***.* |
|  |

**B2ii. Technical Approach: Boiler Cascade (Lot 3B)**

|  |
| --- |
| **Total score 35** |
| 1. Provide a clear description of the proposed boiler system and boiler into which it will be integrated, highlighting its suitability. Describe the approach and methodologies that will be applied to address the challenges defined in the ITT and any others which may be considered relevant   *(weighting x 2);*   1. Provide justification for the development of the proposed boiler system and how this meets the requirements set out in the ITT, specifically Section 1.3 objectives. Where a reference appliance is applicable this should be based on sales, market share and future market trends. This should include:  * Photo/picture of base line reference appliance * Technical specification * Installation instructions * User instructions   *(Installation and user instructions may be provided as appendices)*  *(weighting x 2);*   1. Demonstrate how your proposal provides further value by developing ‘dual fuel’, ‘hydrogen ready’ or ‘adaptable’ variants to simplify the switch-over process or transition to hydrogen   *(weighting x 2);*   1. Include evidence that you understand the risks associated with hydrogen use and, in comparison to natural gas include reference to risks outlined in Section 10.1   *(weighting x 1).*  *NB – only text written within the page limit will be assessed and marked. Documents may be referenced, and detail included in an appendix to provide supporting evidence to an answer. Please note that the appendix documents themselves will not be assessed. Those documents may include:*   * *Standard documents for reference appliance technical specification (Q.2b)* * *Standard documents for reference appliance installation instructions (Q.2b)* * *Letters of support or Memorandum of Understanding (MOU) (Q.2d)*   **Appendix documents are excluded from the page limit***.* |
|  |

**B2iii. Technical Approach: Components Development (Lot 5)**

|  |
| --- |
| **Total score 35** |
| 1. Provide a clear and comprehensive list of the ancillary components which are required for the installation of hydrogen appliances that the supplier can deliver.   Justify development of the proposed set of components based on sales, market share and future market trends of equivalent natural gas components. This should include*:*   * + Lists of base line components   + Technical specifications   + Installation instructions   + User Instructions   + Recommended retail price   *(weighting x 4);*   1. Describe the approach and methodologies that will be applied to address the challenges defined in the ITT, specifically Section 1.3 objectives. and any others which may be considered relevant   *(weighting x 2);*   1. Include evidence that you understand the risks associated with hydrogen use and, in comparison to natural gas include reference to risks outlined in Section 10.1*.*   *(weighting x 1).*  *NB – only text written within the page limit will be assessed and marked. Documents may be referenced, and detail included in an appendix to provide supporting evidence to an answer. Please note that the appendix documents themselves will not be assessed. Those documents may include:*   * *Standard documents for reference appliance technical specification (Q.2b)* * *Standard documents for reference appliance installation instructions (Q.2b)* * *Letters of support or Memorandum of Understanding (MOU) (Q.2d)*   **Appendix documents are excluded from the page limit***.* |
|  |

**B3. Management of Delivery / Project Plan – Applicable to all lots**

|  |
| --- |
| **Total score 20** |
| 1. Detailed description of work and associated timelines to complete all milestones (include a Gantt chart)   *(weighting x 1)*;   1. Description of management plans to demonstrate how the project will be delivered alongside existing commitments. Include detail of your quality assurance procedures   *(weighting x 1)*;   1. Key risks relating to the delivery and dependencies of the project, including mitigation plans. Risks should be presented in the table provided in the application form and may include technical, user-related and safety aspects *(weighting x 2)*. |
| **Risks:**  This table can be presented outside this box section and in landscape orientation if required.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Ref** | **Risk description** | **Likelihood**  **(H/M/L)** | **Impact**  **(H/M/L)** | **Mitigation** | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |

**B4. Cost (see separate document for application) – Applicable to all lots**

|  |  |
| --- | --- |
| **Total score 25** | **Page limit n/a (i.e. not included in 15-page total)** |
| Bid cost for project *(weighting x 5).*  Cost of projects should be provided for either:   * Lots 1, 2, 3A or 4 - Meeting the core requirement   OR   * Lots 1, 2, 3A or 4 – Meeting the core+ requirement   OR   * Lot 3B - Milestones 1 through to 3 for boiler cascade   OR   * Lot 5 - Milestones 1 through to 3 for ancillary system component development.   Price will be marked proportionately to the lowest bid within each lot/sub-lot that is meeting the same requirements (i.e. core or core+ for appliance development). The lowest bid will receive maximum marks for the price element and then all other bids’ prices will be marked proportionately to that bid.  Applicants submitting bids for more than one project must indicate what discount they are prepared to offer on their costs if they are awarded more than one project to take account of any duplicated work in their multiple proposals. Any discount will not form part of the assessment of the cost but will be applied to the signed contracts.  **Applicants should clearly state where cost savings are being provided compared to exclusive development contracts.** | |
| **For Pricing Schedule, see separate document.** | |

*Application form continues on the next page*

**Scoring Method**

Each question will be scored from one to five. The following illustrates the meaning of each score:

|  |  |
| --- | --- |
| **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 |

**n/**

**Section C: Declarations**

[Declaration 1: Statement of Non-collusion 93](#_Toc15477274)

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[Declaration 5: The Code of Practice for Research 116](#_Toc15477278)

[Declaration 6: The General Data Protection Regulation Assurance Questionnaire for Contractors 117](#_Toc15477279)

[Declaration 7: Safe Use of Hydrogen 118](#_Toc15477280)

Declaration 1: Statement of Non-collusion

To: The Department of Business Energy and 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:

(a) 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;

(b) 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;

(c) 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.

1. 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 of Business, Energy and Industrial Strategy

* 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.
* 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.
* 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. We agree that this tender shall remain open to be accepted by the Department for 8 weeks from the date below.
* 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.
* We understand that the Department is not bound to accept the lowest or any tender it may receive.
* 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 consortium, 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 application form - 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 organisation

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 BEIS 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[[1]](#footnote-1). 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.

**SBRI Commercial Hydrogen Appliance, Boiler Cascade, and Ancillary Component Development Competition**

**(Hy4Heat - Work Package 5b)**

**TRN: 1996/07/2019**

**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. All sub-contractors are required to complete Part 1 and Part 2[[2]](#footnote-2)
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 No.** | **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)[[3]](#footnote-3)? | Yes ☐  No ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[4]](#footnote-4)  - 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. [[5]](#footnote-5)  (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 No.** | **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 No.** | **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 No.** | **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. These are also included under Annex 7.  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 convicted  If 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.

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| **Section 3** | **Grounds for discretionary exclusion** | |
| **Question No.** | **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. These are also included under Annex 7.  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) | Please answer the following statements |  |
| 3.1(j) - (i) | The 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. | Yes ☐  No ☐  If Yes please provide details at 3.2 |
| 3.1(j) - (ii) | The organisation has withheld such information. | Yes ☐  No ☐  If Yes please provide details at 3.2 |
| 3.1(j) –(iii) | The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015. | Yes ☐  No ☐  If Yes please provide details at 3.2 |
| 3.1(j)-(iv) | 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 3.2 |
| 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**[[6]](#footnote-6)

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| **Section 4** | **Economic and Financial Standing** | | |
| **Question No.** | **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 ☐ |

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| **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 |

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|  | **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[[7]](#footnote-7)** | |
| **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 |

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| --- | --- | --- |
| **Section 8** | **The General Data Protection Regulation (GDPR)**[[8]](#footnote-8) | |
| **8.1** | Compliance with the GDPR is a mandatory requirement for all contracts or agreements that involve the transfer and processing of personal data from 25th May 2018. Will your organisation be compliant with the GDPR and all Data Protection Legislation (as defined in the terms and conditions applying to this Invitation to Tender) in regards to the processing required under this contract by the time of contract award?  Contractors are also required to complete Declaration 5: The General Data Protection Regulation Assurance Questionnaire for Contractors, to evidence the extent of readiness. The Authority may ask the Contractor to provide evidence to support the position stated in the questionnaire. The Authority may require the successful Contractor to increase their preparedness where the Authority is not satisfied that the Contractor will be in a position to meet its obligations under the terms and conditions. If the Contractor fails to satisfy the Authority that it will be in a position to meet its obligations under the terms and conditions in the event that the Contractor is successful, the Authority reserves the right to exclude the bidder from this procurement. | Yes ☐  No ☐ |

**9. 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.

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| **Section 9.1** | **Suppliers’ Past Performance[[9]](#footnote-9) - (please refer to supplier selection guidance - this question should only be included by central government contracting authorities)** | |
| **a.** | Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years? | Yes ☐  No ☐ |
| **b.** | On request can you provide a certificate from those customers on the list? | Yes ☐  No ☐ |
| **c.** | If you cannot obtain a certificate from a customer can you explain the reasons why? | Yes ☐  No ☐ |
| **d.** | If the certificate states that goods and/or services supplied were not satisfactory are you able to supply information which shows why this will not recur in this contract if you are awarded it? | Yes ☐  No ☐ |
| **e.** | Can you supply the information in questions a. to d. above for any sub-contractors [or consortium members] who you are relying upon to perform this contract? | Yes ☐  No ☐ |

Declaration 5: The Code of Practice for Research[[10]](#footnote-10)

I confirm that I am aware of the requirements of the Department’s Code of Practice for Research[[11]](#footnote-11) and, in the proposed project, I will use my best efforts to ensure that the procedures used conform to those requirements under the following headings[[12]](#footnote-12):

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

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

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

Signed ……………………………………...........

Name ……………………………………............

Position ………………………………………….

Date …………………………………….............

Declaration 6: The General Data Protection Regulation Assurance Questionnaire for Contractors



*(See separate document)*

Declaration 7: Safe Use of Hydrogen

By responding to this call the tenderer must provide assurance that its staff are competent to work with hydrogen in the declaration below and evidence must be provided to support the declaration.

I declare that the staff that will be working on this project (who are already qualified and extensively experienced in the use of natural gas) have given appropriate consideration to the safety considerations of hydrogen and will put in place procedures to ensure these are followed to provide a safe working environment to complete the tendered work.

Signed ……………………………………...........

Name ……………………………………............

Position ………………………………………….

Date …………………………………….............

1. 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-1)
2. See PCR 2015 regulations 71 (8)-(9) [↑](#footnote-ref-2)
3. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-3)
4. 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-4)
5. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-5)
6. [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-6)
7. [Procurement Policy Note 9/16 Modern Slavery Act 2015](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-7)
8. [Procurement Policy Note 02/18 Changes to Data Protection Legislation & General Data Protection Regulation](https://www.gov.uk/government/publications/procurement-policy-note-0218-changes-to-data-protection-legislation-general-data-protection-regulation) [↑](#footnote-ref-8)
9. [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-9)
10. Please note that this declaration applies to individuals, single organisations and consortia. [↑](#footnote-ref-10)
11. The Code of Practice is attached to this ITT as Annex 6. [↑](#footnote-ref-11)
12. Please delete as appropriate. [↑](#footnote-ref-12)