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| Hydrogen Supply Competition |
| Application Form(TRN 1540/06/2018) |
| 6 |
| November 2018 |

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| Hydrogen Supply Competition |
| (TRN 1540/06/2018) |
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# **BEIS Hydrogen Supply Competition (TRN 1540/06/2018) – Application Form**

## **Application Guidance**

Further information and guidance about the Hydrogen Supply Competition can be found in the Competition Guidance Notes (available at <https://www.gov.uk/guidance/funding-for-low-carbon-industry> or by emailing industry.innovation@beis.gov.uk).

This Competition is being delivered using the Small Business Research Initiative (SBRI) approach as a pre-commercial procurement and the competition will have two phases:

**Phase 1, Feasibility studies** (total budget of up to £5m, up to £500k contract for each study): project teams will carry out feasibility studies that will identify:

* An assessment of the market size and export opportunities for the technology for bulk low carbon hydrogen supply.
* A detailed engineering design for each hydrogen supply solution, against which an assessment could be made on a number of metrics that are likely to include: capital and operating costs, process risks (reliability), the availability and the impact of variable demand, the hydrogen quality, the potential to mitigate greenhouse gases, the build rate, and how the process could be scaled. Process modelling or small-scale trials may also be required to verify the design. The use of modelling or demonstration to support the hydrogen supply solution will be assessed under criterion 4: project financing.
* A detailed development plan for each solution describing the key development steps to commercialisation, including the key barriers and risks. This should include a detailed focus on the component(s) to be piloted in Phase 2. Each step will be costed.
* A detailed assessment of the business plan on how the process will continue to be developed after the funding for the pilot ends.

**Phase 2, Pilot demonstration** (total budget of up to £15m, up to £7.5m contract for each demonstration project) [[1]](#footnote-2): Phase 2 is for projects that have been downselected from Phase 1, based on the information contained in their Feasibility Study. This phase will result in the implementation and demonstration of a hydrogen supply solution. This phase will consider applications to pilot key components or further develop the design of the new hydrogen supply solutions. A pilot demonstration is not limited to a physical demonstration and may only be for part(s) of the process. This could include detailed process modelling or engineering design. The Phase 2 demonstration projects will be selected based on the feasibility studies submitted for Phase 1. No completely new applicants will be able to enter the Competition at Phase 2, although some variation in project partners may be permitted.

This form covers applications for Phase 1 of the Competition only. For Phase 2, the completed Phase 1 Feasibility Studies will be used to assess and select the projects to be funded.

**Application Process:**

Bidders are asked to submit a registration email and to complete and submit a Competition application form with supporting information. This must explain their proposed Hydrogen Supply approach, indicate the applicable Lot, and outline their proposed project for Phase 2. The notes below explain the details of the application process:

* **Registration Email:** Applicants must submit a registration email to **industry.innovation@beis.gov.uk** using the title ‘Phase 1 – Hydrogen Supply Competition Registration’ in the email subject and containing the following information: the name of the lead project organisation (project co-ordinator), the project title, and confirmation of intention to submit an application. The deadline for submitting registration emails is **5pm on 21 November 2018**.
* **BEIS Confirmation:** Within a week of receipt of the Registration Email, BEIS will issue a confirmation email to the applicant with an individual reference number. Please use this reference number to submit any subsequent application or when submitting any questions about the Competition.
* **Questions about the Competition:** If you still have questions after reading the guidance notes, please submit any queries regarding the competition process to industry.innovation@beis.gov.uk. All questions should be submitted by the registration deadline of 21 November 2018. Questions submitted after this date may not be answered. We will provide online replies to all those who have registered an interest (<https://www.gov.uk/guidance/funding-for-low-carbon-industry>) to any questions which arise before 21 November and which, in our judgement, are of material significance. All bidders should take these replies into consideration when preparing their own bids and we will evaluate bids on the assumption that they have done so.
* **Submission of Proposal:** The full proposal for the Competition must be submitted by the deadline:
	+ **Phase 1** **proposal submission deadline** is **5pm, 5 December 2018**.
	+ **File format and size:** Completed Phase 1 application forms, the completed finance templates and any supporting information should be submitted electronically. The completed finance form should be submitted as a spreadsheet (.xls) file, the completed application form should be submitted in pdf format.
	+ The proposal documents must be emailed to industy.innovation@beis.gov.uk with ‘Phase 1 – Hydrogen Supply Competition (name of lead applicant)’ in the subject line.
	+ The maximum size email you can send is 10MB. If your application is larger than 10MB, please break the submission down into smaller sizes and ensure the subject line of each additional email takes the following format ‘Phase 1 – Hydrogen Supply Competition (name of lead applicant) – email x of y’.
* **Submission Content:** Each Phase 1 proposal must include the following documents:
	+ Completed application form, including signed declarations
	+ Completed pricing schedule/finance form (this is a separate spreadsheet that can be downloaded from <https://www.gov.uk/guidance/funding-for-low-carbon-industry> or requested from industry.innovation@beis.gov.uk)
	+ Completed high-level project Gantt chart or project plan for the Phase 1 Feasibility Study
	+ Optional: additional letters of support or other supporting information can also be submitted **where they add substantive information** to the proposal. However, you should not assume that any additional information will be cross-referenced or reviewed as part of the selection process. The application form should include a list of any supporting documents.

You should endeavour to answer all questions on the application in full. Incomplete applications and any containing incorrect information will very likely be rejected. BEIS may, at its discretion, request clarification before making a final decision.

Any applications or supporting documentation received after the application deadline will not be considered.

* **Submission Costs:** You will not be entitled to claim from the Department any costs or expenses that you may incur in preparing your bid, whether your proposal is successful or not.
* **Consortium Bids:** Bids from consortia are welcome. **Only one submission should be submitted for each separate project bid** but all consortium partners are required to sign the completed application form for their project(s) (see Annex 2, Declaration 2).

If a consortium is not proposing to form a separate corporate entity, the project partners will need to complete a Consortium Agreement and funding will not be provided by BEIS until a signed consortium agreement has been finalised between all the members of the project consortium. Please note that BEIS 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.

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

* **Multiple Bids:** Applicants may put in multiple bids or be part of multiple consortia, for unique projects delivering different hydrogen supply solutions. BEIS reserves the right to assess the capability of the team to deliver multiple projects and whether the different projects are unique at the eligibility stage.
* **Tender Validity**: Phase 1 proposals shall be valid for a minimum of 60 calendar days from the submission deadline (5 December 2018).
* **Phase 2 Submissions:** For Phase 2, the completed Phase 1 Feasibility Studies will be used to assess and select the projects to be funded. Successful Phase 1 applicants will be given further details about the format for the Phase 1 Feasibility Study when Phase 1 contracts are awarded. The feasibility study will be expected to strengthen the evidence used for the application process. Phase 2 will use similar criteria, however it is expected that costs and performance can be quantified and evidenced. **No completely new project teams can apply for funding at Phase 2**.

## **Contact and Bidder Details and Proposal Summary**

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| Summary Information |
| Name of Bidder (This should be the lead organisation/co-ordinator for the proposed project.Please note that this will be the organisation with whom BEIS contracts for Phase 1 of this Competition.) |       |
| Project Title |       |
| Estimated Start Date |       |
| Phase 1 Project Duration | 0 mths |
| Total proposal price for Phase 1 Feasibility Study | £ 0.00 |
| Estimated costs for Phase 2 Demonstration Project | £ 0.00  |
| Is this a collaborative application?  | Click to enter | Please provide contact and business details for all the project partners in Annex 1. |

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| Bidder Contact Details |
| Title | Choose title | Name |       |
| Position |       |
| Email |       |
| Telephone |       | Mobile |       |
| Organisation name |       |
| Address |       |
|   |       |
| . |       |
| . |       |
| Town/City |       |
| Postcode |       |
| Organisation Type | Choose type |
| If type of business is ‘other’, please describe here: |  |
| Organisation Details  |
| Number of employees (including directors) | 0 |
| Business Registration Number |       |
| Turnover (in most recent annual accounts) | £ 0.00 | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Business maturity | Choose maturity |
| Does the business have a parent company? | Choose an item |
| How is the business currently funded? (Choose all that apply) |
| [ ]  | No Funding | [ ]  | Founders (including bank loans) | [ ]  | Friends and Family | [ ]  | Public Sector Grants\* |
| [ ]  | Angel Investment | [ ]  | Venture Capital | [ ]  | Private Equity | [ ]  | Stock Market Floatation |
| **Other public sector funding:** With respect to this project or the technology it is based on, please list briefly any public sector support you are receiving or have received in the past 10 years, or which is currently being sought (please add further details in a separate annex if necessary). |  |

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| Parent Company Details (if applicable) |
| Organisation name |       |
| Address |       |
|  |       |
|  |       |
|  |       |
| County |       |
| Postcode |       |
| Turnover (in most recent annual accounts) | £ 0.00  | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Company maturity | Choose an item. |

## **Public Description of the Project**

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| The public description of the project should be a brief non-confidential description of the project that BEIS may use in online or printed publications; please describe the project objectives and key deliverables and the expected project benefits) (maximum 500 words) |
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## **Eligibility Criteria**

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| This section seeks information to address the Competition Eligibility Criteria: all projects will be assessed against these eligibility criteria before progressing to evaluation against the Assessment Criteria. Please see section 4 of the Competition Guidance Notes for further information. |

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| **1. Innovation and technology readiness** |
| Please describe the final expected technology readiness level of the proposed Hydrogen Supply solution if a Phase 2 project is selected and successfully completed for this Competition. Please describe the expected technology status as well as providing a numerical TRL grading (see Annex 1 in the Guidance Notes for further information on technology readiness levels). |       |
| Please describe the current technology readiness level of the system or of its main components or sub-systems. |       |

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| --- |
| **2. Technology scope** |
| To the best of your knowledge: a) is this Hydrogen Supply solution or approach already commercially deployed in the UK or elsewhere?b) have you secured contracts for future commercial or deployment of this Hydrogen Supply?If the answer is yes to any of these options, please provide further details. |       |
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| **3. Project activity** |
| Please outline briefly the activities expected to be completed for the proposed Phase 1 Feasibility Study.  | Choose an item. |
| Please outline briefly the activities expected to be completed for the proposed Phase 2 Demonstration Project. | Choose an item. |

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| **4. Project status** |
| Please describe any work which has been carried out on the proposed project already (BEIS is unable to fund retrospective work on projects). |       |

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| 5. Additionality |
| What is the added value of public funding for this project and what would be the outcome if no public sector was provided (for example, in terms of the extent or speed of innovation activity). Why can’t you fund this innovation activity yourself?  |       |

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| 6. Contract size |
| Total proposal price for Phase 1 Feasibility Study (in £) |       |
| Estimated costs for Phase 2 Demonstration Project (in £) |       |

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| 7. Eligible costs |
| Please confirm that the proposed costs for the Phase 1 Feasibility Study are eligible – as defined in Annex 2 of the Competition Guidance Notes.  |  |

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| **8. Project location** |
| Please describe the location or locations where the proposed project will be carried out. If more than one location, please provide an estimate of the total project costs to be delivered at each location. |       |

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| **9. Project end-date** |
| Please state the completion date for the Phase 1 Feasibility Study – including completion of all reporting requirements. |       |
| Please state the completion date for the proposed Phase 2 Demonstration Project (if selected) – including completion of all reporting requirements. |       |

## **Assessment Criteria**

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| This section seeks information to address the Competition Assessment Criteria: these criteria will be used to rank projects during the assessment process. Please see section 7 of the Competition Guidance Notes for further information. |

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| **1. Innovative, cost-effective Hydrogen Supply approach(25% weighting)** |
| This criterion will be used to assess the novel approach to Hydrogen Supply in the proposed demonstration project and the cost (including cost of carbon) of implementing the solution. Highest marks will be awarded to the innovative bulk low carbon hydrogen supply solution that can achieve low life time costs. The applicant’s plans to improve the cost basis in the feasibility study will also be assessed. The TRL level of the proposed hydrogen solution will be accounted for when assessing the quality of information provided. |
| 1a. Please give a high-level description of the proposed Hydrogen supply demonstration. Include a description of the how this will accelerate the development of bulk low carbon hydrogen. ***Please limit your response to 2 pages*** |
|       |
| 1b. Please explain all innovative approaches to be used in the proposed solution. Compare the proposed solution to any similar state of the art solutions by explaining the main differences as well as the benefits and innovation in the proposed solution.***Please limit your response to 2 pages*** |
|       |
| 1c. Please highlight the expected lifetime costs for the hydrogen supply solution, providing the assumptions used. Describe how the feasibility study and demonstration phase will firm up these costs.Lots 1 and 2, to aid easier comparison of the applications, should be costed at an average annual throughput equal to or greater than the counterfactual (SMR+CCS) and carbon emitted per unit of hydrogen produced (in kg CO2/kNm3).Lot 3 should be at a throughput equal or greater than the counterfactual, and Lot 4 should quote the scale of operation and the cost effectiveness against current state of the art solutions, and carbon footprint.Please compare costs to the current state-of-the-art hydrogen supply solution if existing.To calculate (and enable us to compare) lifetime costs, bidders should use BEIS’s estimates for cost of carbon and natural gas in 2035. These are provided in the counterfactual in Annex 2 of the guidance notes. If a different cost assumption basis is more representative for your hydrogen supply technology, this can also be included to help support your application.***Please limit your response to 4 pages*** |

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| **2. Performance of hydrogen supply solution(25% weighting)** |
| This criterion will be used to assess the performance and scalability of the hydrogen supply solution in supplying one or more the gas grid, industry, power and transport.Highest marks will be awarded to applicants with the hydrogen supply solution that will provide the greatest flexibility to supplying bulk low carbon hydrogen for the widest range of end users, specifically for the gas grid. |
| Please provide a detailed explanation of the performance of the proposed hydrogen supply solution and compare it to the current state of the art solution, define the assumptions made and the basis for those assumptions (depending on the level of development of the solution we would expect a higher degree of confidence with higher TRL projects). Describe any impact operating the hydrogen supply solution will have on lifetime costs and performance. Outline which end user (the gas grid, industry, power and transport) the hydrogen supply solution will supply and why this solution can supply those users.***Please limit your response to 4 pages*** |
|       |
| Describe how you propose to validate the performance of the hydrogen supply solution in the feasibility study and subsequently the demonstration phase.***Please limit your response to 2 pages*** |
|       |

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| **3. Development Plan (5% weighting)** |
| This criterion will be used to assess the plans for the further development, commercialisation and exploitation. Highest marks will be awarded to those project teams with the most robust and credible plans for commercialisation and exploitation.  |
| Describe the project team’s proposed development plan for the hydrogen supply solution, including highlighting the key challenges to achieving commercialisation (assuming there is a demand for bulk low carbon hydrogen), timescales and estimated development costs. Highlight any potential supply chain constraints if demand reached levels of 6 TWh per year by 2040.***Please limit your response to 2 pages*** |
|       |

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|  **4. Project financing** (25% weighting)You must also complete a separate Finance Form (spreadsheet) and submit it with your completed Application Form. |
| This criterion will be used to assess the Phase 1 feasibility study costs and to secure initial outline information about the estimated costs of the proposed demonstration project.Highest marks will be awarded to projects that can demonstrate that they can deliver a workable solution (including the use of modelling or demonstration) and that the proposed public sector contribution to the eligible project costs: * Will represent good use of public funding by supporting projects whose costs are realistic and justified and are likely to secure the expected project aims and deliverables.
* Will represent good value for money and a fair balance of risk and benefits for BEIS, including no element of profit in the project costs.
 |
| Please complete the project finance summary below: |
| Phase 1 feasibility study: total project costs/bid price | £ 0.00 |
| Phase 2 demonstration project: estimated total project costs | £ 0.00 |
| Describe why this proposal represents fair market value, and the additionality Public money brings to accelerating the development of the hydrogen supply solution.***Please limit your response to 2 pages*** |
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| **5. Project delivery(20%)** |
| This criterion will be used to assess the expected effectiveness and efficiency of delivery of the feasibility study and will also consider the project team’s potential capacity and capability to deliver a demonstration project. Highest marks will be awarded to applicants who have taken all reasonable steps to maximise the likelihood of successfully delivering the projects aims (whilst recognising the innate technical risk in any innovation project). |
| 5a. For the **Phase 1 feasibility study**, please provide a separate **high-level Gantt chart** **or outline project plan** listing the key tasks and timescales. |
| 5b. For the **Phase 1 feasibility study**, please complete Table 5b below to describe the **key work packages**. |
| 5c. For the proposed **Phase 2 demonstration project,** please complete Table 5c below to describe the **key work packages** – the work package descriptions are likely to be high level for the demonstration project at this stage.  |
| 5d. Please complete Table 5d below to list the **key project milestones** for the **Phase 1 feasibility study**. |
| 5e. Please complete Table 5e below to list the **key project milestones** for the **Phase 2 demonstration project**. |
| 5f. Please complete Table 5f below to outline the **key project risks and risk mitigation** techniques for the **Phase 1 feasibility study**. |
| 5g. For the **Phase 1 feasibility study**, please outline below the **key roles for each partner** and the proposed **governance arrangements** between the partners to ensure effective project delivery. ***Please limit your response to 2 pages*** |
|       |
| 5h. For the proposed **Phase 2 demonstration project**, please outline below the **key roles for each partner** and the proposed **governance arrangements** between the partners to ensure effective project delivery. ***Please limit your response to 2 pages*** |
|       |
| 5i. For the **Phase 1 feasibility study**, please list any **external party** responsible for delivering goods or services worth more than 10% of the total project value and explain how you will ensure that these parts of the project do not give rise to delays in the delivery of the project. |
|       |
| 5j. **For the Phase 1 feasibility study**, please provide details below of the **relevant skills, qualifications and experience** of main project team members, including descriptions and evidence of previous relevant work carried out. Please include brief details of relevant previous projects, including the date, location, client and project size.***Please limit your response to 6 pages***Brief CVs of lead individuals within the project team should be provided in an Annex to this Application (CVs should be no longer than 2 pages each).  |
|       |

**Table 5b – Project Work Packages – Phase 1 Feasibility Study**

|  |  |  |  |
| --- | --- | --- | --- |
| **Work package number** | **Work package name** | **Project partner lead for work package** | **Brief description of work package, including key tasks** |
| **WP1** |  |  |  |
| **WP2** |  |  |  |
| **WP3** |  |  |  |
| *Please add further rows as necessary for each work package* |

**Table 5c – Project Work Packages – Phase 2 Demonstration Project**

|  |  |  |  |
| --- | --- | --- | --- |
| **Work package number** | **Work package name** | **Project partner lead for work package** | **Brief description of work package, including key tasks** |
| **WP1** |  |  |  |
| **WP2** |  |  |  |
| **WP3** |  |  |  |
| *Please add further rows as necessary for each work package* |

**Table 5d – Project Milestones – Phase 1 Feasibility Study**

|  |  |  |  |
| --- | --- | --- | --- |
| **Milestone number** | **Milestone name** | **Project partner lead for milestone delivery** | **Brief description of milestone, including deliverables** |
| **M1** |  |  |  |
| **M2** |  |  |  |
| **M3** |  |  |  |
| *Please add further rows as necessary for each milestone* |

**Table 5e – Project Milestones – Phase 2 Demonstration Project**

|  |  |  |  |
| --- | --- | --- | --- |
| **Milestone number** | **Milestone name** | **Project partner lead for milestone delivery** | **Brief description of milestone, including deliverables** |
| **M1** |  |  |  |
| **M2** |  |  |  |
| **M3** |  |  |  |
| *Please add further rows as necessary for each milestone* |

**Table 5f – Risks and Risk Management – Phase 1 Feasibility Study**

*(Bidders can provide their own Risk Table as a separate Annex if preferred)*

|  |  |  |
| --- | --- | --- |
| **Risk**(Identify and describe all key project risks, including: financial, technology, supply chain, regulatory, etc) | **Overall risk rating:** (Probability x Impact)High, Medium or Low | **Mitigation actions**(Describe the actions taken or planned responses to reduce the impact and/or probability of the risk) |
|  |  |  |
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|  |  |  |
| *Please add further rows as necessary*  |

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| Further Information:Please provide any further key information in additional annexes, or alternatively provide as attachments to the email submission. All additional information should be appropriately referenced within the application form text so that assessors can readily refer to it. If information is not appropriately referenced it will not be considered during the assessment process. |
|  |

## **Annex 1: Partner Information (for Collaboration Projects only)**

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| --- |
| Contact Details – Partner 1 |
| Title | Choose title | Name |       |
| Position |       |
| Email |       |
| Telephone |       | Mobile |       |
| Organisation name |       |
| Address |       |
|   |       |
| . |       |
| . |       |
| Town/City |       |
| Postcode |       |
| Organisation Type | Choose type |
| If type of business is ‘other’, please describe here: |  |
| Organisation Details – Partner 1 |
| Number of employees (including directors) | 0 |
| Business Registration Number |       |
| Turnover (in most recent annual accounts) | £ 0.00 | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Business maturity | Choose maturity |
| Does the business have a parent company? | Choose an item |
| How is the business currently funded? (Choose all that apply) |
| [ ]  | No Funding | [ ]  | Founders (including bank loans) | [ ]  | Friends and Family | [ ]  | Public Sector Grants\* |
| [ ]  | Angel Investment | [ ]  | Venture Capital | [ ]  | Private Equity | [ ]  | Stock Market Floatation |
| \*With respect to this project or the technology it is based on, please list any public sector support received in past 10 years, or currently being sought (please add further details in a separate annex if necessary) |  |

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| --- |
| Parent Company Details (if applicable) |
| Organisation name |       |
| Address |       |
|  |       |
|  |       |
|  |       |
| County |       |
| Postcode |       |
| Turnover (in most recent annual accounts) | £ 0.00  | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Company maturity | Choose an item. |

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| --- |
| Contact Details – Partner 2 |
| Title | Choose title | Name |       |
| Position |       |
| Email |       |
| Telephone |       | Mobile |       |
| Organisation name |       |
| Address |       |
|   |       |
| . |       |
| . |       |
| Town/City |       |
| Postcode |       |
| Organisation Type | Choose type |
| If type of business is ‘other’, please describe here: |  |
| Organisation Details – Partner 2 |
| Number of employees (including directors) | 0 |
| Business Registration Number |       |
| Turnover (in most recent annual accounts) | £ 0.00 | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Business maturity | Choose maturity |
| Does the business have a parent company? | Choose an item |
| How is the business currently funded? (Choose all that apply) |
| [ ]  | No Funding | [ ]  | Founders (including bank loans) | [ ]  | Friends and Family | [ ]  | Public Sector Grants\* |
| [ ]  | Angel Investment | [ ]  | Venture Capital | [ ]  | Private Equity | [ ]  | Stock Market Floatation |
| \*With respect to this project or the technology it is based on, please list any public sector support received in past 10 years, or currently being sought (please add further details in a separate annex if necessary) |  |

|  |
| --- |
| Parent Company Details (if applicable) |
| Organisation name |       |
| Address |       |
|  |       |
|  |       |
|  |       |
| County |       |
| Postcode |       |
| Turnover (in most recent annual accounts) | £ 0.00  | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Company maturity | Choose an item. |

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| --- |
| Additional Partners:*If required, please add further tables for Contact, Organisation Details and (if relevant) Parent Company Details for any additional partners.*  |
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# **Annex 2 – Declarations**

### Declaration 1: Statement of non-collusion

To: The Department for 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:

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 and 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/project co-ordinator)

…………………………………………………………………………………

Print name

………………………………………………………………………….

On behalf of (organisation name)

………………………………………………………………………….

Date

|  |
| --- |
| Consortium partner signatures: Please ensure a suitable representative from each of the project partners who are participating in this bid checks and signs this proposal in Table D2 overleaf before returning it to BEIS to indicate their knowledge and approval of the proposal.  |

**Table D2 – Signatures of Consortium Partners**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of organisation** | **Name of signatory & position in organisation** | **Signature** | **Date** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **Please add rows for additional project partners, if needed.** |

### 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 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 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: Questions for tenderers

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:Public limited companyLimited company Limited liability partnership Other partnership Sole trader Third sectorOther (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)* Voluntary Community Social Enterprise (VCSE)
* Sheltered Workshop
* Public service mutual
 |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[2]](#footnote-3)? | Yes ☐No ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[3]](#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. [[4]](#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 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 [webpage](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 C.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 [webpage](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 C.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 has 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**[[5]](#footnote-6)

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

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

|  |  |  |
| --- | --- | --- |
| **5.1** | Are you able to provide parent company accounts if requested to at a later stage? | Yes ☐No ☐ |
| **5.2** | If yes, would the parent company be willing to provide a guarantee if necessary? | Yes ☐No ☐ |
| **5.3** | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?  | Yes ☐No ☐ |
| **Section 6** | **Technical and Professional Ability**  |
| **6.1** | **Relevant experience and contract examples**Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.If you cannot provide examples see question 6.3 |

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

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

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

|  |  |
| --- | --- |
| **Section 7** | **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015[[6]](#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 |

|  |  |
| --- | --- |
| **Section 8** | **The General Data Protection Regulation (GDPR)** |
| **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 by the time of contract award?Contractors are also required to complete Declaration 6: The General Data Protection Regulation Assurance Questionnaire for Contractors, to evidence the extent of readiness. The Authority reserves the right to seek evidence of any stated position as required, and to require the successful Contractor to increase their preparedness where necessary. If the Authority is not satisfied that the bidder is sufficiently prepared, they reserve the right to exclude the bidder from this procurement. | Yes ☐No ☐ |

**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 9** | **Additional Questions**  |
| **9.1** | **Suppliers’ Past Performance[[7]](#footnote-8) - (please refer to supplier selection guidance - this question should only be included by central government contracting authorities)**  |
| **a.** | Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years? | Yes ☐No ☐ |
| **b.** | On request can you provide a certificate from those customers on the list?  | Yes ☐No ☐ |
| **c.** | If you cannot obtain a certificate from a customer can you explain the reasons why? | Yes ☐No ☐ |
| **d.** | If the certificate states that goods and/or services supplied were not satisfactory are you able to supply information which shows why this will not recur in this contract if you are awarded it?  | Yes ☐No ☐ |
| **e.** | Can you supply the information in questions a. to d. above for any sub-contractors [or consortium members] who you are relying upon to perform this contract?  | Yes ☐No ☐ |

**Declaration 5: Code of Practice[[8]](#footnote-9)**

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

Responsibilities

Competence

Project planning

Quality Control

Handling of samples and materials

Facilities and equipment

Documentation of procedures and methods

Research/work records

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

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

**Code of Practice for Research**

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

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

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

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

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

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

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

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

Code and its adoption should not require great effort.

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

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

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

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

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

Monitoring of compliance with the Code is necessary to ensure:

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

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

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

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

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

***1. Responsibilities***

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

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

***2. Competence***

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

***3. Project planning***

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

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

***4. Quality Control***

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

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

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

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

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

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

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

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

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

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

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

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

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



**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).

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1. BEIS retains the authority to change the funding available for Phase 2 [↑](#footnote-ref-2)
2. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-3)
3. 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)
4. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-5)
5. [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-6)
6. [Procurement Policy Note 9/16 Modern Slavery Act 2015](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-7)
7. [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-8)
8. Please note that this declaration applies to individuals, single organisations and consortia. [↑](#footnote-ref-9)
9. The Code of Practice is attached to this ITT [↑](#footnote-ref-10)
10. Please delete as appropriate [↑](#footnote-ref-11)
11. Please note ethical approval does not remove the responsibility of the individual for ethical behaviour. [↑](#footnote-ref-12)
12. Please note that this also applies to projects being undertaken by consortia. [↑](#footnote-ref-13)