



Department for
Business, Energy
& Industrial Strategy

**Grant for support to coordinate the supply chain for
retrofit at a local level**

Deadline for Applications: 17:00, 26th Sept 2018

Department for Business, Energy & Industrial Strategy

Date: 30th July 2018

The Department for Business, Energy & Industrial Strategy (“BEIS”) wishes to commission a project to support the coordination of the supply chain for retrofit at a local level.

Enclosed are the following sections:

- Section 1 (page 5) Instructions on application process
- Section 2 (page 8) Specification of requirements
- Section 3 (page 27) Further information
- Section 4 (page 30) Declarations and information to be provided;
 - Conflict of Interest
 - Questions for tenderers
- Annex A: Eligible Expenditure Schedule
- Annex B: Code of practice for research
- Annex C: Data Protection

Please read the instructions on the application procedures carefully since failure to comply with them may invalidate your application. Your application must be returned by 17:00 on 24th September 2018 clearly marked as “TENDER”.

I look forward to receiving your response.

Yours sincerely,

Natasha Sogol

E: mail: owneroccupier@beis.gov.uk

Privacy Notice

Identity and contact details of the Data Controller (and where applicable, the controller's representative) and the Data Protection Officer.

The Data Controller is the Department for Business, Energy & Industrial Strategy (BEIS).

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

Purpose of the processing and the legal basis for the processing

Any personal data contained within submitted tenders will be processed by BEIS or on behalf of BEIS for the purposes of the tender exercise described within the remainder of this Invitation to Tender, or in the event of legal challenge to such tender exercise.

The legal basis for collecting your data is public task in accordance with Article 6(1)(e) of the General Data Protection Regulation.

Any recipient or categories of recipients of the personal data

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

Details of transfers to third country and safeguards

The data you provide will not be transferred outside the European Union.

Retention period or criteria used to determine the retention period

Unsuccessful tenders will be kept for a period of six months following the date of contract signature. The successful tender will be retained as part of the contract documentation for a period of 6 years from the date of contract expiry, unless the contract is entered into as a deed in which case it will be kept for a period of 12 years from the date of contract expiry.

The rights available to individuals in respect of the processing

A list of your rights under the GDPR is accessible at:

<https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation->

[gdpr/individual-rights/](https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/)

The right to lodge a complaint with a supervisory authority

You have the right to lodge a complaint with the Information Commissioner's Office (supervisory authority) at any time. Should you wish to exercise that right full details are available at: <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/>.

The existence of automated decision making, including profiling and information about how decisions are made, the significance and the consequences.

The processing of the information you provide will not include automated individual decision making (making a decision solely by automated means without any human involvement) or profiling (automated processing of personal data to evaluate certain things about an individual).

Section 1
**Instructions and Information on application
Procedures**

Contents

Procedure for Submitting Applications 6
Conflict of Interest and Financial or other Irregularities..... 6
Evaluation of applications 6
Terms and conditions 6
Further Instructions to Contractors 6

Procedure for Submitting Applications

The maximum page limit for your proposals is 25 (excluding declarations, eligible expenditure schedule and CVs).

Applications will be received up to 17:00 on Monday 24th September 2018. Please ensure that your application is delivered no later than the appointed time on the appointed date. The Department does not undertake to consider applications received after that time. The Department requires the proposals set out in the application to remain valid for a period indicated in the specification of requirements.

The Department shall have the right to disqualify you from the competition if you fail to fully complete your response, or do not return all of the fully completed documentation and declarations requested. The Department shall also have the right to disqualify you if it later becomes aware of any omission or misrepresentation in your response to any question within this call. If you require further information concerning the application process, or the nature of the proposed contract, email owneroccupier@beis.gov.uk.

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

Conflict of Interest and Financial or other Irregularities

The Department's grant agreement includes reference to conflict of interest and states that Grant Recipient must have and will keep in place formal procedures that require the Grant Recipient's Representatives to declare any personal or financial interest in any matter concerning the grant funded activities and if a conflict of interest is identified the individual is to be excluded from any discussion or decision-making relating to the matter concerned.

The Grant Recipient must inform the Authority immediately if there are any grounds for suspecting financial irregularity in the use of the grant, explain what steps are being taken to investigate the irregularity and keep the Authority informed about the progress of the investigation. For these purposes "financial irregularity" includes (but is not limited to) potential fraud or other impropriety, mismanagement, and the use of grant for any purpose other than those stipulated in this Agreement.

Evaluation of applications

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

Terms and conditions applying to this Grant call

The Department's grant agreement will apply to this project. These have been available as part of the grant call.

Further Instructions to Contractors

The Department reserves the right to amend the enclosed grant documents at any time prior to the deadline for receipt of applications. Any such amendment will be

numbered, dated and issued by 22nd August 2018. Where amendments are significant, the Department may at its discretion extend the deadline for receipt of applications.

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

A. Checklist of Documents to be Returned

- Proposal (maximum 25 pages)
- Annex A – Eligible Expenditure Schedule
- Declaration 1: Conflict of Interest
- Declaration 2: Standard Selection Questionnaire

Section 2
Specification of Requirements

Contents

- 1. Introduction and summary of requirements 9
- 2. Background..... 11
- 3. Aims and Objectives 12
- 4. Outputs Required..... 13
- 5. Methodology 16
- 6. Ownership and Publication 17
- 7. Quality Assurance..... 17
- 8. Timetable 18
- 9. Challenges..... 18
- 10. Ethics..... 19
- 11. Working Arrangements 19
- 12. Skills and experience 20
- 13. Consortium Bids 20
- 14. Budget 21
- 15. Evaluation of Tenders 22
 - Criterion..... 24
 - Description 24
 - Weighting 24

1. Introduction and summary of requirements

BEIS is seeking to launch pilots to test up to five different approaches for increasing the rates of energy efficiency improvements in non-fuel poor homes, particularly alongside renovation work, by providing support for local supply chain integration and project coordination.

This will be done by allocating a total of up to £1 million to up to five different pilots, over a period of six months, in separate geographic regions in England, with the option to extend this for a further two years depending the availability of funds. Funding will be awarded to the five organisations that score highest according to the evaluation criteria set out below. In the first six months, up to £190,000 per organisation will be available. If the project is extended for subsequent years, up to £2 million could be available per year, which equates to £367,500 per organisation per year. The lower funding proposed for the first year reflects the fact that the project will begin around the middle of the financial year. The remaining funds each year will be set aside for evaluation work to be carried out by BEIS and an evaluation partner.

Companies are invited to apply for these grants and are asked to note that there is considerable uncertainty in regards to the funding for the second and third years due to business planning. Due to this uncertainty, we expect contractors to show that their projects will deliver benefits at every stage, including in the initial six month period. BEIS officials will ensure successful applicants are alerted in good time as to whether funding has been secured or not.

The expected outcomes of the local supply chain pilot scheme are:

- An increase of retrofit projects, particularly deeper retrofit, in project areas. This will be measured with returns from organisations and before and after measures of energy use in the area.
- Generate further information about the barriers and successful engagement routes for different consumer groups, and different parts of the supply chain to inform future programmes.
- Increase the skills and knowledge of the supply chain in relevant areas such as;
 - technical installations
 - Project management
 - Knowledge of energy performance and complimentary energy measures for whole house retrofit
 - Soft skills (i.e. customer service)
- Demonstrate the impact of training, and coordination of different parts of the supply chain on improving the quality and consistency of retrofit delivery, as measured through customer satisfaction surveys.
- Development of a sustainable business models for retrofit and partnerships that will continue beyond the project period.

To achieve this, you will need to work with many of the following:

- Repair Maintenance and Improvement (RMI) supply chain and retrofit installers to generate leads for retrofit projects and to support upskilling
- Assessors and trained retrofit coordinators to assess homes and make recommendations on measures to install
- Organisations such as Local Authorities who have an interest in seeing higher rates of retrofit in their offer areas to seek wider branding, communications and additional funding for the program;
- Financial institutions, to seek particular offers for financing retrofit improvements;
- Energy companies, to engage consumers
- Training institutions, to offer courses for the local supply chain
- Local Enterprise Partnerships

You would also be responsible for;

- project coordination
- high-skilled technical support
- quality assurance, potentially through the use of third-party retrofit coordinators or on-site monitoring of project
- developing a strategy for engaging the public and hence delivering leads for the supply chain

The grant funding that you receive could be used to fund the following things:

- Labour costs of core staff involved in the project (though not installers/contractors themselves).
- Tools and materials to engage consumers about retrofit, and research into the likely appeal of different offers. These could range from supporting local Green Open Homes programmes, to renting a physical space (i.e. high street presence) for engaging consumers.
- Events to bring together different partners highlighted above.

Funding the cost of the measures themselves through grants is outside of the scope of the project. You are encouraged to develop a clear consumer offer or set of offers by working with Local Authorities to secure local or European funding, or through working with lenders to secure a specialised finance offer, or negotiating bulk discounts for materials, or from encouraging homeowners to use existing savings or finance offers available to them

The funding should explicitly **not** be used to leverage Energy Company Obligation (ECO) funding, as this would lead to limited additionality, and ECO funding is not available for most non-fuel poor consumers.

This competition is focused on non-fuel poor households (the able to pay market) and does not cover social housing. We recognise that it is important to improve social housing and support the fuel poor, but we have other policies in place to achieve this.

2. Background

The project is a response to an assessment of the state of the market for owner occupier energy efficiency set out in the 'Building a Market for Energy Efficiency Call for Evidence'¹, which identified both the demand and supply side barriers to growth in the market for energy efficiency retrofit. Whilst separate policies are being pursued to stimulate consumer demand, these pilots will aim to address supply side barriers and reduce the frictions and challenges that prevent consumers following through with energy retrofit projects.

The CforE identified that levels of retrofit outside of government schemes are very low for measures like insulation. However, homeowners do spend considerable amounts of money on other types of improvements to their homes. In 2016, UK homeowners spent £18 billion on improvements to their homes². Many people considering amenity improvements (such as kitchen upgrades) also consider making energy retrofit at the same time. A 2013 study found that of those people considering improvements to their home, 11% were considering energy only, 35% were considering mixed energy and amenity renovations whilst 54% were considering amenity-only renovations. Clearly this shows that there is a strong argument for targeting people at the time of renovation to encourage them to make energy efficiency or low carbon heat improvements. The report also showed that many people who consider energy work end up dropping energy elements from their plans due to a range of barriers.

Many of these barriers are particularly problematic in the owner-occupier sector³. The repair, maintenance and improvement (RMI) of owner-occupied homes is largely served by SMEs or sole traders with limited knowledge of energy efficiency or low carbon heat measures. They do not always see the benefits of upselling energy efficiency as an add-on to their typical amenity renovation project portfolios, and do not always have the skills or experience to do such improvements themselves⁴.

Where energy retrofit work is carried out, the failure to take a 'whole house approach' can often result in unintended negative consequences. For example, adding insulation may change the air tightness and require a ventilation retrofit as well. This requires coordination across trades and quality advice to homeowners that the workforce is not equipped to deliver. This leads to a lack of quality installations and in turn a lack of trust in the sector⁵.

The provision of information and financing alone is insufficient to drive widespread uptake of retrofits⁶. For most homeowners, even once the cost and information barriers have been addressed, the hassle factor of delivering such

¹ [BEIS \(2017\) Call for Evidence: Building a Market for Energy Efficiency](#)

² Construction Products Association, Construction Industry Forecasts 2017-2018, spring 2017 edition.

³ National Audit Office (2016), Green Deal and Energy Company Obligation

⁴ [ACE \(2015\) Installer Power Report](#)

⁵ Department of Energy and Climate Change, Green Deal customer journey survey: summary report - quantitative survey wave 5, 2015, viewed on 30 August 2017

⁶ 2010 Merrian Fuller – Driving Demand for Home Energy Improvements - LBNL

projects outweighs the perceived benefits, particularly as the homeowner might have to coordinate across multiple tradesmen to get work done.

In short, energy retrofit markets have yet to develop a sufficiently compelling value proposition to make homeowners demand energy as part of their home improvements, and the workforce has insufficient motive to upsell energy efficiency or low carbon heat as part of their existing portfolios. This fragmentation of the supply chain results in non-cost-related barriers that must be addressed through dedicated supply-side action.

The project will therefore aim to mirror approaches taken in other countries to stimulate the able to pay market by focussing on addressing non-financial barriers, building skills in the supply chain sector, and providing a joined up/ one-stop shop or 'concierge' service for consumers. This approach has recently been trialled in Scotland in areas such as Peebles⁷, and in Denmark through the 'Better Homes' project⁸.

3. Aims and Objectives

As detailed in the building a market for energy efficiency call for evidence, Government is not aware of any significant levels of energy retrofit occurring outside of Government-led schemes. The ultimate aim of this project is drive retrofit in local areas. However, as this is a pilot project, we recognise that it will take time to drive up levels, and a key purpose of the project is to act as a learning exercise and as a template that could potentially be replicated at a broader scale.

The project will last for six months, with the potential to extend this for a further two years. Below are the aims and expectations for each year;

- Year 1: Project initiation and research stage (Oct 2018 – April 2019) with up to £190,000 per project (a total of £950,000)

In the project initiation stage, you will be expected to refine your detailed project and evaluation plan and begin to test your assumptions about how consumers might respond to different offers through consumer engagement work. You should also refine your plan for which consumers you will target by carrying out additional analysis on what potential measures there are in the area (using EPC data or other digital assessment tools). You should also firm up any partnership agreements you have with any other organisations such as local authorities, lenders and local community groups. Finally, you should strengthen your links with all the installers and contractors in the local area and build a framework list of contractors (or other such similar approach).

You should also finalise your reporting and data collection systems so that you can monitor and collect data on your activities and report back to BEIS officials throughout the project period.

Should the project not continue past this initial 6 months, you will be expected to

⁷ <https://www.changeworks.org.uk/projects/change-works-in-peebles>

⁸ <https://www.betterhome.today/>

nevertheless have delivered benefits in terms of learnings about how consumers might respond to different offers and building partnerships between different parts of the supply chain and other partners.

- Year 2 and 3: Further implementation phase (April 2019 – April 2021) with up to £367,500 each year per project (a total of £2 million per year)

Following the development of plans and engagement with consumers in year 1, you will be expected to deliver more in terms of retrofit projects completed in year 2. Year 2 and 3 are expected to look relatively the same in terms of the aims and objectives but you are expected to upscale this in year 3 and move towards creating a sustainable business model.

Throughout this period, you will be expected to hold events that will bring together different tradespeople and encourage cross sectorial partnerships. You will also be expected to continue to work with local authorities, energy suppliers and finance providers to help to secure further funding and refine your offer for consumers.

You should also be upskilling the supply chain. This could be done by providing training and advice services, potentially using knowledge sharing platforms or supporting access to training and accreditation programs or carrying out remote evaluations of retrofit work that has been undertaken.

Ultimately all these actions should lead to homeowners carrying out energy retrofit projects in your area, and you will be required to demonstrate the levels of activity taking place. You are encouraged to focus where possible to drive deeper retrofit using a 'whole house' approach, as opposed to simply driving installation of simple, low cost measures. This could be a mixture of building fabric (e.g. insulation), wider energy performance measures (solar pv) or low carbon heat, or simply a focus on building fabric. Crucially these should support the aspiration to move as many homes as possible to EPC band C by 2035.

We also want the project to result in the creation of sustainable business models for driving up retrofit in your project area. Therefore, in year 3, you will be expected to be putting/ have put measures in place to ensure that the project continues past the pilot period such as creating a revenue stream for your organisation, potentially through collecting a fee for each retrofit project, or through building lasting partnerships between project partners and the supply chain.

1. Outputs Required

You will be expected to deliver the following outputs at agreed milestones. The outputs for the programme are broken down into the expectations for each year from contractors and the evidence and data that we will require. This will all feed into the wider evaluation for the projects.

Throughout the project you will also be expected to commit to:

- Monthly phone calls with BEIS officials to discuss progress against Key Performance Indicators set out by your organisation and BEIS

- Quarterly meetings with other organisations involved in the project to discuss best practice.
- Quarterly progress reports to be provided to BEIS.

You will provide details to BEIS officials on how you expect to perform against each milestone after each year. When providing your project plans, please consider the projects budget, aims and outputs required. As funding is only secured for the first six months (year 1) and may not be continued for subsequent years, we expect you to indicate what would be delivered by the end of each financial year.

BEIS will recruit an external evaluator to assess the lessons learnt from the pilot and which techniques and methodologies were most successful in achieving the pilot aims. Please note, this is an evaluation of the pilot scheme as a whole and will not contribute towards assessment of the contractors’ success against KPIs. The full scope of the evaluation will be decided after the evaluator is recruited. The successful contractors will be required to collect the following key data to enable the evaluation:

- Anonymised data in spreadsheet form detailing all known completed jobs, leads and other contact with consumers including details of type of retrofit, type of home (including EPC if known) and the postcode district. The exact format of the spreadsheet will be finalised after the project is awarded. Contractors should show in their bid how they will collect and store this data while complying with GDPR.
- Contact details for consumers and tradespeople who are willing to be contacted by the external evaluator for research purposes. BEIS will supply the wording for the consent requests/forms. Contractors should show in their bid how they will collect and store this data while complying with GDPR.

In addition, successful contractors will be expected to participate in interviews as part of the evaluation process. The full scope of the evaluation will be decided after the evaluator is recruited during year one of the pilots. At this point, the evaluator may request other outputs or data which should be supplied if practical and feasible for the contractor.

Year 1:

Output required	Evidence/ data to be provided to BEIS
Buildings analysis – contractors have researched and confirmed the retrofit needs in their area, and assessed challenges such as planning permission etc.	Breakdown of priority homes to target and justification for this. Full results of any retrofit mapping exercises.

Customer insight – contractors have tested out consumer appetite for various offers and identified which will be the most popular in their area	Results from initial consumer testing
Customer engagement – contractors have identified routes for engaging customers, agreed routes with the relevant partners and begun the process of engaging customers. Contractors should be able to demonstrate a pipeline of future projects at the end of the six months.	Contact details for consumers who consent to be contacted by evaluator for future interviews
Installers – contractors have signed up at least a list of around 20 installers or more to do energy retrofit and identified any training needs and ways to meet these. This includes also identifying and recruiting any retrofit coordinators if needed (this will depend on the approach taken by the contractor).	List of installers and retrofit coordinators etc. – including details of whether they are willing to be contacted as part of the evaluation process Analysis of any skill gaps
Customer offer & materials – contractors have designed and finalised their initial consumer offer, either through securing a discount on materials or coming to an agreement with a financial institution. Also, have ensured relevant retrofit materials are stocked in local supply centres.	Evidence of discounts or materials secured, or financial offers arranged.
Partnerships – contractors have finalised terms of partnerships with relevant partners (lenders, local authorities etc)	Memoranda of understanding or agreement letters with relevant partners
Branding – contractors have organised and had initial events with the relevant partners and initial start-ups costs (for renting space etc. if this is approach used) has been incurred.	Evidence of events held, and start-up costs incurred.

Years 2 and 3: outputs for year 3 are the same as year 2 but upscaled

Output Required	Evidence/ Data to be provided to BEIS
Completed retrofit – contractors have completed retrofit jobs in the area attributable to the project (with evidence for example of how leads were generated), with over half of these containing more than one measure/ deeper retrofit. As a guide we would expect around 760 retrofit jobs in year 2 and 1500 in year 3 ⁹ , although contractors should set out their own estimates in their project plans,	List of all known projects carried out in the area with details of the measures that have been installed, postcode districts etc. Contact details for consumers who consent to be contacted by evaluator for future research
Consumer trust – through high quality of the work done thus far, over 80% of customers willing to recommend projects to friends	Monitoring information from homes where jobs have taken places (photos, in-situ measurement in proportion of homes etc.) Contact details for consumers who

⁹ These figures are based on estimates from similar projects carried out in neighbouring countries.

	consent to be contacted by evaluator for future research
Customer insight – Further information on any other offers and routes of engagement that have been successful in the local area	Breakdown of the different routes that have been tested, leads generated through each route and measures delivered.
Customer engagement – evidence of further pipeline of projects.	Contact details for consumers who consent to be contacted by evaluator for future research
Installers – contractors have improved the skills and knowledge of the supply chain with more installers confident with their ability to provide energy efficiency retrofit measures. Created more links between the RMI chain and retrofit installers	List of installers who have consented to be contacted by the evaluator, and details of training undertaken, or accreditation received over the project period.
Year 3 only: Sustainable business model – evidence of secure funding stream for the project beyond project period	Accounts and evidence of future revenue raising plans

2. Methodology

There are several different approaches that could be used for delivering the aims and outputs of the project set out above, and BEIS will not be prescriptive about what approach you should take. Nevertheless, some guidelines and potential activities to carry out are set out below.

a) Coordination of existing players in the market

You are expected to improve coordination amongst different parts of the supply chain. We recommend you do this by;

- Holding trades matching events between different parts of the supply chain.
- Communicating and engaging with local authorities, energy suppliers etc. to build cross-sector partnerships.
- Working with manufacturers, retailers, distributors etc. to secure bulk discounts on relevant retrofit materials.

We suggest that you provide evidence of the above through the memorandums of understanding for the partnerships that have been built and through receipts for events held and discounts secured.

b) Upskilling of the supply chain

One of the outputs expected from the pilot scheme is to ensure that there is an upskilled supply chain within the local areas. You will be expected to provide evidence of accreditations achieved by installers and greater confidence from installers in providing advice for energy efficiency retrofit measures.

You should therefore look to develop skills of the supply chain through supporting access to training courses, providing an advice service for local tradespeople or carrying out remote evaluations of retrofit jobs.

You will also need to ask the tradespeople if they consent to be contacted by the evaluator to take part in interviews or surveys as part of the evaluation process. Details of all who consent should be held securely and passed on to the external evaluator when requested.

c) Consumer engagement/ motivation

You are expected to test out/ research the different offers for consumers and to map out potential retrofit priorities in your area.

You should then engage consumers directly. This could be done by;

- developing advertising, media campaigns and branding
- offering a new range of products or services to consumers
- working with energy suppliers, local authorities and advertising agencies to engage consumers
- securing free or discounted energy audits/ consultations
- building the confidence of the local repair, maintenance and improvement (RMI) supply chain to upsell energy retrofit alongside other renovation work.

You will also need to ask consumers if they consent to be contacted by the evaluator to take part in interviews or surveys as part of the evaluation process. Details of all who consent should be held securely and passed on to the external evaluator when requested.

d) Commercial and Financial Development

You could aim to secure agreements with local authorities to commit to additional funds that will help the consumer to part-subsidise the retrofit measures. Alternatively, you could look to work with banks and other finance providers to leverage funding and develop tailored products to fund energy retrofit.

Alternatively, you could generate a non-financial offer based more on advice and project support and coordination.

You should provide memoranda of understanding or written agreements as evidence of these partnerships.

3. Ownership and Publication

All the outputs from the pilot project will be owned by BEIS. The outputs and data developed during the pilot cannot be used by contractors for purposes other than the pilot unless otherwise agreed with BEIS.

4. Quality Assurance

You must set your approach to quality assurance in your response to this ITT along with examples of how you have quality assured previous similar projects and details

of who will sign off outputs, and their role within the contractor’s organisation.

5. Timetable

Below is an indicative timetable. The timetable may slip depending on when the pilot scheme begins, in that case, a revised timetable will be provided to successful contractors in good time.

	Indicative date
Pilot Scheme Starts	November 2018
Quarterly meeting for contractors	January 2019
External board meeting/ Quarterly meet for contractors	March 2019
Review against year 1 KPIs	March 2019
Contractors alerted whether money has been secured for year 2	March 2019
Year 2 starts	April 2019
Quarterly meeting for contractors	June 2019
Quarterly meeting for contractors	September 2019
External board meeting	September 2019
Quarterly meeting for contractors	December 2019
Review against year 2 KPIs	March 2020
Quarterly meeting for contractors	March 2020
Organisations alerted whether money has been secured for year 3	March 2020
Year 3 starts	April 2020
External board meeting	April 2020
Quarterly meeting for contractors	June 2020
Quarterly meeting for contractors	September 2020
External board meeting	October 2020
Full review of the pilot scheme begins	December 2020
Review and scheme end	April 2021

6. Challenges

There are several challenges that the pilot scheme could face and successful organisations, working alongside BEIS, will be expected to mitigate these as best as they can. These include:

A duplication of efforts across the supply chain

- You be expected to identify local barriers and polices to ensure that efforts are enhanced, and not duplicated, across the supply chain.
- In coordination with BEIS and in accordance with the structure set out, you should ensure that your programme is designed in a way that it is flexible and can adapt to the challenges in your project area.

- BEIS has also set out what the funding can and cannot be used for, including a clear statement that the funding cannot be used to leverage ECO funding as this will be a duplication of efforts.

A lack of support from the local suppliers and local authorities

- You will be expected to engage with local authorities and organisations who can provide financial incentives and discounts for customers within the first year of the scheme and secure the early buy in. You should also demonstrate in your bid why you think you should be able to partnerships (or already have done so) in your chosen area.

The funding from this programme is used as “business as usual” by companies and there is no innovation

- As this is a pilot scheme, we are expecting to learn from the scheme. We therefore expect you to find a balance between experimentation and delivering concrete results and retrofit projects. BEIS will monitor levels of retrofit recorded by you to ensure that the project is having an impact but will avoid setting hard targets in terms of measures to be delivered so as to leave you with freedom to experiment.

7. Ethics

Payments to all successful applicants of the scheme will not be dependent on the returns from the project but we will be making decisions on whether or not a project and its methodologies are deemed to be sustainable and expected to last past the pilot period. Funding will also be dependent on BEIS’ business planning.

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

8. Working Arrangements

The successful contractor will be expected to identify one named point of contact through whom all enquiries can be filtered. A BEIS project manager will be assigned to the project and will be the central point of contact. We anticipate frequent contact from project managers, especially during the first year of the project. We expect monthly progress reports at the start of the project and thereafter quarterly progress reports.

BEIS will conduct internal reviews on an on-going basis throughout the project and will engage external reviewers at key stages (set out in the timeline above).

9. Data Protection

The Contractor will be compliant with the Data Protection Legislation, as defined in the grant agreement documentation applying to this Grant call. A guide to The General Data Protection Regulation published by the Information Commissioner's Office can be found [here](#).

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

10. Skills and experience

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

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

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

Due to the nature of the project, we expect contractors to have some or all of the following skills or experience within their teams:

- In-depth knowledge about home construction and energy technology (e.g. insulation, air sealing, HVAC, air quality, etc.)
- Understanding of planning process and building regulations
- Experience at coordinating largescale projects, in particular in the energy retrofit sector
- Experience building partnerships between different organisations
- Access to and experience with using building assessment and technical monitoring tools
- Experience of working in the chosen local area they are bidding for, or demonstratable knowledge of the challenges and circumstances of that area
- Sales and marketing skills
- Basic financing knowledge
- Training and education skills (to support building skills for local supply chain)

11. Consortium Bids

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

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

If a consortium is not proposing to form a corporate entity, full details of alternative proposed arrangements should be provided in the Annex.

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

12. Budget

The total budget for the project is £1 million over the rest of the financial year 2018-19. There is the possibility that this will then be extended with a further £2 million per year for 2019-20 and 2020-21.

As the project begins half way through the financial year, up to £1 million will be available for the project within the first 6 months. We expect £50,000 of budget to be used towards evaluation for the first 6 months, leaving up to £190,000 per organisation. Thereafter, if the project is extended for years 2 and 3 there will be up to £2 million available per year and £325,000 will be spent on evaluation, which leaves £367,500 per organisation per year. As mentioned above, the funding for years 2 and 3 will be subject to BEIS business planning and the sustainability of projects.

For all stages, contractors should provide a full breakdown of costs, including a high-level option for if less of the funding (around 50%) was available and another option for if they had more funding than mentioned above (up to double). This should include staff allocated to specific tasks. The pricing breakdown for years 2 and 3 is expected to be similar but contractors are expected to highlight any areas where they anticipate an uplift in prices.

Below is a rough estimate of how we anticipate the funding will be the funding to be used

- Hiring/ allocating core staff to the project
- Engagement and promotional materials
- Events and coordination activities
- Consumer insight research and user testing

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

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

13. Evaluation of Applications

You are invited to submit full proposals of no more than (25) pages, excluding declarations. Applications will be evaluated by at least three BEIS staff.

Funding for year 1 will be awarded to the highest-ranking proposals against the criteria and weighting listed below; however, where several applications suggest the same or a similar approach, we may also choose to allocate the budget to lower scoring projects proposing different approaches to develop and test a wider range of potential solutions.

BEIS also reserves the right to offer a larger or smaller sum of money to applicants depending on the range and quality of bids received (for this reason we are asking applicants to submit smaller and larger pricing estimates alongside their core estimate).

- **Conflict of interest:** pass/fail. See page 6 for further information

EVALUATION CRITERIA AND SCORING METHODOLOGY

Applications will be evaluated against the following criteria.

Strength of delivery plan

You should clearly demonstrate how you intend to run your project and drive higher levels of retrofit in your chosen area. This should cover several different areas including your assessment of the challenges and opportunities in your chosen area, an initial sense of which types of homes and consumer groups you intend to target, and an evaluation of the existing energy retrofit market and repair maintenance and improvement market in the area, including which installers/ tradesmen or groups you intend to work with. You should also demonstrate if you have partnerships agreed in the local area (through letters of agreement to work together etc.) with the type of partners listed above (local authorities etc.) or have clear plans of what partnerships you intend to build and some evidence that those other parties are interested in working together. You should also demonstrate how you intend to develop an offer and a service that is appealing to consumers and how you plan to test and refine that offer during the initial period of the project. You should also show how you will reach a wide range of homeowners and ensure a good 'pull-through rate' with a high percentage of homeowners you contact following through with retrofit projects. You should clearly set out your key performance indicators that you expect to hit at different stages of the project (3 months, 6 months etc.) and set out a risk register and plan for managing risks.

The delivery plan should clearly highlight what you expect to deliver in year 1 alone, and what you could expect to deliver if the project is extended for a further 1-2 years.

Within project plans you should also demonstrate how you intend to build a sustainable business model that will mean activity can endure beyond the project period.

Strategic fit with building a Market for Energy Efficiency

Proposals should show an alignment with the principles and priorities set out in the 'Building a Market for Energy Efficiency' Call for Evidence. In particular they should show how you intend to achieve a deeper level of retrofit in homes that goes beyond simple low-cost measures such as loft insulation. They should demonstrate how you will take a whole house approach and ensure high quality retrofit, including through approaches such as the use of actual measurement of energy performance in treated homes.

Contractors' specific skills

As set out above you should be able to demonstrate relevant skills and experience in the area. You will be evaluated on the following things:

- Skills, knowledge and experience available in the team including some or all of the following:
 - In-depth knowledge about home construction and energy technology (e.g. insulation, air sealing, HVAC, air quality, etc.
 - Understanding of planning process and building regulations
 - Experience of working in the chosen local area you are bidding for, or demonstratable knowledge of the challenges and circumstances of that area
 - Sales and marketing skills
 - Basic financing knowledge
 - Training and education skills (to support building skills for local supply chain)
 - Demonstration of how the proposed team for the BEIS project delivered on similar projects previously
- Access to and experience with using building assessment and technical monitoring tools

Building skills in the supply chain

Your proposal should demonstrate how you will build skills in the local supply chain. This could be through several different approaches, including securing courses for installers to help upskills them, linking different parts of the supply chain together to share their experiences (and providing tools for them to do this) or supporting contractors with gaining accreditation to the Each Home Counts Quality Mark (to be launched later this year). You should clearly set out your plan and explain which types of installers you will work with.

Evaluation

Your proposal should set out what your plans are for collecting the necessary data explained in the outputs section, and how you will keep that data secure where relevant. You should also make clear how you intend to differentiate between the impact of the different activities you are carrying out.

SCORING METHODOLOGY

Criterion	Description	Weighting
01	Strength of delivery plan:	45%
	<ul style="list-style-type: none"> • Range of partnerships to be built (with tradespeople, installers, manufacturers, assessors, LEPs, local authorities etc.) (10%) • Showing an understanding of the local areas: types of homes, consumers, their challenges and ideas for how to address these (10%) • Plans and evidence of approach for engaging consumers and creating an appealing consumer offer and ensuring high number of customers are contacted and follow through with projects (10%) • Plans for building a sustainable business model and ensuring activity continues past project period (10%) • Robustness of project plan including Key Performance Indicators (KPIs) and risk register (5%) 	
02	Strategic fit with building a Market for Energy Efficiency	16%
	<ul style="list-style-type: none"> • Plans for incentivising multiple measures or deeper levels of retrofit (8%) • Plans for use of actual measurement of performance or other robust methods for ensuring high quality installations and a whole house approach (%) 	
03	Contractors' specific skills	21%
	<ul style="list-style-type: none"> • Skills and experience available in the team (14%) • Access to existing tools (i.e. digital engagement or building audit tools) (7%) 	
04	Building skills in the supply chain	13%
	<ul style="list-style-type: none"> • Plans for supporting with supply chain with improving their skills, obtaining additional support, or gaining accreditation for the Each Home Counts quality mark or alternative [including how many installers/ contractors will benefit]. 	
05	Evaluation	5%
	<ul style="list-style-type: none"> • Clear data collection process demonstrated, including evidence of how to differentiate impact of different interventions 	

Structure of Applications

Contractors are strongly advised to structure their proposals to cover each of the criteria above. You should also complete the price schedule attached at Annex A, specifying the daily rates you will charge for each level of your staff and services. Please note as this is a grant, VAT is out of scope. A suggested format would be:

1. Description of organisation(s) involved, relevant skills and experience of those involved.
2. Project plan, including clear set of KPIs at different stage of the project, expected coverage, measures to be delivered, approach to engaging customers etc. This can include short addendum on what you would do differently with twice/ half the amount of funds.
3. Explanation of how you meet other evaluation criteria, including Strategic fit with building a Market for Energy Efficiency and upskilling the supply chain
4. Evaluation plan

ANNEXES [not included in 25-page limit]

5. Eligible expenditure Schedule
6. Evidence to support your application (e.g. letters of support from relevant partner organisations)
7. Other requirements including declarations as set out below

Scoring Method

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

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

Funding will be awarded to the highest-ranking proposals; however, where several applications suggest the same or a similar approach, BEIS may also choose to allocate the budget to lower scoring projects proposing different approaches to develop and test a wider range of potential solutions

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

Bid Clarification

After reviewing and evaluating the written proposals, BEIS may decide to hold clarification meetings with suppliers.

Feedback

Feedback will be given to the unsuccessful in letters or emails.

Section 3
Further Information

Contents:

A. Definitions 28
B. Data security 28
C. Non-Collusion 28

A. Definitions

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

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

Additionally, the Government's transparency agenda requires that tender documents are published on a designated, publicly searchable web site. The same applies to other relevant documents issued by the Department (including the original advertisement and the pre-qualification questionnaire (if used)), and any contract entered by the Department with its preferred supplier once the competition is complete. By submitting an application, you agree that your participation 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 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.

B. Data security

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

Section 4 contains a "The General Data Protection Regulation Assurance Questionnaire for Contractors" (Declaration 6) 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.

C. 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 application with an officer of the Department. Section 4 contains a "Statement of non-collusion" (declaration 1); any breach of the undertakings covered under items 1 - 3 inclusive will invalidate your

tender. If a contractor has indulged or attempted to indulge in such practices and the application 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 application price is or will be, before the time limit for delivery of applications.
- Try to obtain any information about anyone else's application or proposed application before the time limit for delivery of applications.
- Make any arrangements with another organisation about whether or not they should apply, or about their or your application price.

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

Section 4
Declarations to be submitted

Contents

Conflict of Interest 31
Standard Selection Questionnaire..... 33

Declaration 1: 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 documentation - Nil returns **are** required.

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

- A professional or personal interest in the outcome of this project
- For evaluation projects, a close working, governance, or commercial involvement in the project under evaluation
- Current or past employment with relevant organisations

- Payment (cash or other) received or likely to be received from relevant organisations for goods or services provided (Including consulting or advisory fees)
- Gifts or entertainment received from relevant organisations
- Shareholdings (excluding those within unit trusts, pension funds etc) in relevant organisations
- Close personal relationship or friendships with individuals employed by or otherwise closely associated with relevant organisations

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

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

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

Declaration 2: Standard Selection Questionnaire

Potential Supplier Information: Part 1.

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier).

A completed declaration of Part 1 provides a formal statement that the organisation making the declaration has not breached any of the exclusion's grounds. Consequently, we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1. 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.

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.

[INSERT GRANT NAME]
[INSERT REFERENCE NUMBER]

Notes for completion

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.
6. **Note for Contracting Authorities: The following paragraph is optional for inclusion if a decision has been made to request a self-declaration of the exclusion grounds from sub-contractors. All sub-contractors are required to complete Part 1 and Part 2¹⁰.**
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.

¹⁰ See PCR 2015 regulations 71 (8)-(9)

Part 1: Potential supplier Information

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

Section 1	Potential supplier information	
Question number	Question	Response
1.1(a)	Full name of the potential supplier submitting the information	
1.1(b) – (i)	Registered office address (if applicable)	
1.1(b) – (ii)	Registered website address (if applicable)	
1.1(c)	Trading status a) public limited company b) limited company c) limited liability partnership d) other partnership e) sole trader f) third sector g) other (please specify your trading status)	
1.1(d)	Date of registration 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 <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
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) a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop	

	c) Public service mutual	
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME) ¹¹ ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(n)	<p>Details of Persons of Significant Control (PSC), where appropriate: ¹²</p> <ul style="list-style-type: none"> - 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; <ul style="list-style-type: none"> - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. ¹³ <p>(Please enter N/A if not applicable)</p>	
1.1(o)	<p>Details of immediate parent company:</p> <ul style="list-style-type: none"> - 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) <p>(Please enter N/A if not applicable)</p>	
1.1(p)	<p>Details of ultimate parent company:</p> <ul style="list-style-type: none"> - 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) <p>(Please enter N/A if not applicable)</p>	

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.

¹¹ See EU definition of SME: <http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/>

¹² 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.](#)

¹³ Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award.

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

Section 1	Application model				
Question number	Question	Response			
1.2(a) - (i)	Are you applying as the lead contact for a group of economic operators?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/>			
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	

Section 8	The General Data Protection Regulation (GDPR)	Section 8
8.1	<p>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?</p> <p>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.</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

Annex A: Eligible Expenditure Schedule (breakdown of forecast grant expenditure)

Year 1

Item of Expenditure [To include both staff and other costs]	Budget (in UK Sterling)/forecast expenditure

Year 2

Item of Expenditure [To include both staff and other costs]	Budget (in UK Sterling)/forecast expenditure

Year 3

Item of Expenditure [To include both staff and other costs]	Budget (in UK Sterling)/forecast expenditure

Annex B: Code of Practice for Research

Mandatory Exclusion Grounds

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

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

Participation in a criminal organisation

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

Conspiracy within the meaning of

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

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

Corruption

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

The common law offence of bribery;

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

Fraud

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

- the common law offence of cheating the Revenue;
- the common law offence of conspiracy to defraud;
- fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
- fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
- fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;

- an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
- destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;
- fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;
- the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;

Terrorist offences or offences linked to terrorist activities

Any offence:

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

Money laundering or terrorist financing

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

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

Child labour and other forms of trafficking human beings

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

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

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

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

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

Non-payment of tax and social security contributions

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

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

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

Other offences

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

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

Discretionary exclusions

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

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

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

Bankruptcy, insolvency

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

Grave professional misconduct

Guilty of grave professional misconduct

Distortion of competition

Entered into agreements with other economic operators aimed at distorting competition

Conflict of interest

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

Been involved in the preparation of the procurement procedure.

Prior performance issues

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

Misrepresentation and undue influence

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

Additional exclusion grounds

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

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

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

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

Consequences of misrepresentation

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

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

Annex C: Processing, Personal Data and Data Subjects

(1) The contact details of the Authority's Data Protection Officer are:

BEIS Data Protection Officer
Department for Business, Energy and Industrial Strategy
1 Victoria Street
London
SW1H 0ET

Email: dataprotection@beis.gov.uk

(2) The contact details of the Contractor's Data Protection Officer are: [To be completed by the Contractor]

(3) The Contractor shall comply with any further written instructions with respect to processing by the Authority.

(4) Any such further instructions shall be incorporated into this Annex C.

Description	Details
Subject matter of the processing	<p>The processing is needed in order to ensure that the Contractor can effectively deliver the contract to provide the local supply chain pilots. It is also necessary to effectively evaluate the pilots.</p> <p>The processing of names and business contact details of staff of both the Authority and the Contractor will be necessary to deliver the services exchanged during the course of the Contract, and to undertake contract and performance management.</p> <p>The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.</p> <p>The contractor will also be required to store and process personal data obtained from consumers and tradespeople in order to enable the evaluation of the pilots.</p> <p>The contractor will also be required to store and process personal data obtained from consumers and tradespeople in order to enable the evaluation of the pilots.</p>

Duration of the processing	Processing will take place from the start of Contract for the duration of the Contract. The Contract will end on 31 March 2019 but may be extended until 31 March 2021.
Nature and purposes of the processing	<p>The nature of the processing will include collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data.</p> <p>Processing takes place for the purposes of evaluation of the pilots (research).</p> <p>The nature of processing will include the collection and storage of records of retrofit and contact details of individuals who consent to being approached by an evaluator to request participation in research. Both the records and contact details will be kept securely by the contractor and passed to an external evaluator when necessary. After the evaluation of the pilots is complete, the contractor will pass the anonymous retrofit records to BEIS and destroy any personal data which they have not been given permission to hold to enable the continued operation of their retrofit business.</p> <p>The external evaluation has not yet been procured. There may be further data processing requirements attached to this which the contractor will need to ensure is GDPR compliant.</p> <p>The nature of processing will include the storage and use of names and business contact details of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.</p> <p>The external evaluation has not yet been procured. There may be further data processing requirements attached to this which the contractor will need to ensure is GDPR compliant.</p>

Type of Personal Data	<p>Names, business telephone numbers and email addresses, office location and position of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.</p> <p>Names, addresses, telephone numbers and email addresses for the individuals who consent to being approached by an evaluator to request participation in research.</p>
Categories of Data Subject	<p>Staff of the Authority and the Contractor, including where those employees are named within the Contract itself or involved within contract management.</p> <p>Customers and potential customers of the contractor, tradespeople who have worked with the contractor. Members of the public who have received a quote or had a consultation with the contractor or their representative.</p>
Plan for return and destruction of the data once the processing is complete UNLESS requirement under European Union or European member state law to preserve that type of data	<p>The Contractor will delete the Personal Data and erase the Personal Data from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract. The Contractor will certify to the Authority that it has completed such deletion. Where Personal Data is contained within the Contract documentation, this will be retained in line with the Department's privacy notice found within the Invitation to Tender.</p>

The nature of the service will require the Contractor to collect personal data directly from data subjects. The Contractor will use the agreed BEIS privacy notice as instructed by the Authority. (NB: This may be refined following the agreement of contracts between BEIS and the Contractors.).



GDPR Privacy Notice
Template.docx