



Department for  
Business, Energy  
& Industrial Strategy

# Invitation to Tender for: Demonstration of Energy Efficiency Potential (DEEP)

Tender Reference Number: 1999/07/2019

Deadline for Tender Responses: 19/09/2019 2:00pm  
GMT

## Department for Business, Energy & Industrial Strategy

Date: 08/08/2019

The Department for Business, Energy & Industrial Strategy (“BEIS”) wishes to commission the **Demonstration of Energy Efficiency Potential (DEEP)** project.

Enclosed are the following sections:

- Section 1 (page 5) Instructions and Information on Tendering Procedures
- Section 2 (page 10) Specification of Requirements
- Section 3 (page 28) Further Information on Tender Procedure
- Section 4 (page 31) Declarations to be submitted by the Tenderer;
  - Statement of Non-Collusion
  - Form of Tender
  - Conflict of Interest
  - Standard Selection Questionnaire
  - The General Data Protection Regulation Assurance Questionnaire for Contractors
  - Code of Practice for Research
- Annex A: Pricing Schedule
- Annex B: Code of Practice for Research
- Annex C: Exclusion Grounds

Please register your interest in submitting a tender for this project by emailing [builtenvironmentresearch@beis.gov.uk](mailto:builtenvironmentresearch@beis.gov.uk). To apply for this tender please also register on the following website [www.delta-esourcing.com](http://www.delta-esourcing.com). This will ensure you receive immediate notification of updates to the ITT process or answers to questions raised by potential contractors.

To apply for this tender, please also register on [www.delta-esourcing.com](http://www.delta-esourcing.com).

Please read the instructions on the tendering procedures carefully since failure to comply with them may invalidate your tender. Your tender must be returned by 19<sup>th</sup> September 2019 at 2:00pm GMT clearly marked as “TENDER”.

We look forward to receiving your response.

Yours sincerely,

Built Environment, Technology and Systems team  
Email: [builtenvironmentresearch@beis.gov.uk](mailto:builtenvironmentresearch@beis.gov.uk)

## **Privacy Notice**

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

### **YOUR DATA**

We will process the following personal data:

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

#### *Purpose*

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

#### *Legal basis of processing*

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

#### *Recipients*

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

#### *Retention*

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

### **YOUR RIGHTS**

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

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

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

You have the right to request that your personal data are erased if there is no longer a

justification for them to be processed.

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

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

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

## **INTERNATIONAL TRANSFERS**

Your personal data will not be processed outside the European Union.

## **COMPLAINTS**

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

Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF  
0303 123 1113  
[casework@ico.org.uk](mailto:casework@ico.org.uk)

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

## **CONTACT DETAILS**

The data controller for your personal data is the Department for 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](mailto:dataprotection@beis.gov.uk).

## Section 1

# Instructions and Information on Tendering Procedures

Invitation to Tender for *Demonstration of Energy Efficiency Potential (DEEP)*

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### A. Indicative Timetable

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

<b>Tender Timeline</b>	<b>Date</b>
Advert and full invitation to tender issued	08/08/19
Deadline for questions relating to the tender	22/08/19
Final responses to questions published	29/08/19
Deadline for receipt of tender	19/09/19 2:00PM GMT
Invite suppliers for bid clarification (if needed)	02/10/19
All suppliers alerted of outcome	08/10/19
10 day standstill period	09/10/19 – 18/10/19
Contract award on signature by both parties	24/10/19
Contract start date	25/10/19

The contract is to be for a period of 21 months unless terminated or extended, in time or budget, by the Department in accordance with the terms of the contract.

### B. Procedure for Submitting Tenders

The maximum page limit for tenders is 35 (excluding declarations, pricing schedule and CVs).

To apply for this tender please register on the following website [www.delta-sourcing.com](http://www.delta-sourcing.com). Please contact the Delta Helpdesk on 0845 270 7050 for any registration queries. Please upload your proposal before the deadline via BIP Solutions Delta Website.

For questions regarding the procurement process please contact [builtenvironmentresearch@beis.gov.uk](mailto:builtenvironmentresearch@beis.gov.uk).

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

The Department shall have the right to disqualify you from the procurement if you fail to fully complete your response, or do not return all of the fully completed documentation and declarations requested in this ITT. The Department shall also have the right to disqualify you if it later becomes aware of any omission or misrepresentation in your response to any question within this invitation to tender. If you require further information concerning the tender process, or the nature of the proposed contract, email [builtenvironmentresearch@beis.gov.uk](mailto:builtenvironmentresearch@beis.gov.uk). All questions should

be submitted by 22<sup>nd</sup> August 2019 at 23:59. Questions submitted after this date may not be answered. Should questions arise during the tendering period, which in our judgement are of material significance, we will publish these questions with our formal reply by the end of 29<sup>th</sup> August 2019 and circulate – unnamed – to all organisations that have expressed an interest in bidding. All contractors should then take that reply into consideration when preparing their own bids, and we will evaluate bids on the assumption that they have done so.

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

### **C. Conflict of Interest**

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

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

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

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

- 1. During the bidding process, organisations may contact BEIS to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.** Any responses given to individual organisations or consortia will be published on contract finder (in a form which does not reveal the questioner's identity). Any organisation thinking of submitting a bid, should share their contact details with the staff member responsible for this procurement, to ensure they receive an update when any responses to questions are published.
- 2. Contractors are asked to sign and return Declaration 3 (page 34) to indicate whether or not any conflict of interest may be, or be perceived to be, an issue.** If this is the case, the contractor or consortium should give a full account of the actions or processes that it will use to ensure that conflict of interest is avoided. In any statement of mitigating actions, contractors are expected to outline how they propose to achieve a robust, impartial and credible approach to the research.
- 3. When tenders are scored, this declaration will be subject to a pass/fail score,** according to whether, on the basis of the information in the proposal and

declaration, there remains a conflict of interest which may affect the impartiality of the research.

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

#### **D. Evaluation of Responses**

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

#### **E. Terms and conditions applying to this Invitation to Tender**

The Department's Standard Terms and Conditions for Services will apply to this contract. We have published these alongside this ITT.

#### **F. Further Instructions to Contractors**

The Department reserves the right to amend the enclosed tender documents at any time prior to the deadline for receipt of tenders. Any such amendment will be numbered, dated and issued by 29<sup>th</sup> August 2019. Where amendments are significant, the Department may, at its discretion, extend the deadline for receipt of tenders.

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

#### **G. Checklist of Documents to be Returned**

- Proposal (maximum 35 pages)
- Annex A: Pricing Schedule
- Declaration 1: Statement of non-collusion
- Declaration 2: Form of Tender
- Declaration 3: Conflict of Interest
- Declaration 4: Standard Selection Questionnaire



ITT: Demonstration of Energy Efficiency Potential (DEEP)

- Declaration 5: The General Data Protection Regulation Assurance Questionnaire for Contractors
- Declaration 6: Code of Practice

## Section 2

### Specification of Requirements

Invitation to Tender for *Demonstration of Energy Efficiency Potential (DEEP)*

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## 1. Introduction and summary of requirements

Decarbonisation of heat is one of the most complex energy system challenges facing the UK. One method to ease the transition to low carbon heating methods is to ensure the existing housing stock is at its most energy efficient level. Some homes, through energy-efficiency retrofit, will have significant opportunities for savings, whilst others may present complications restricting their retrofit opportunities.

Historically, strategies to improve the energy efficiency of homes have focussed on single-measure solutions addressing one heat loss pathway e.g. solid wall insulation. Such approaches typically occur in isolation, with little consideration of the wider energy system or the opportunities for complementary measures to further enhance efficiency. This approach may lead to retrofit not fulfilling its maximum potential or cause negative unintended consequences.

The aim of this research project is to investigate the potential value of taking a system-level approach to retrofit, considering the entire dwelling rather than simply the performance of individual measures. Such an approach is typically defined as 'whole house', and appreciates the complex interactions between fabric, ventilation and the occupant.

Taking a whole house approach may present an opportunity for:

- Retrofit measures to contribute more effectively than if they were applied individually
- Reducing the risk of unintended consequences by considering system-level impact.

In order to evaluate the potential of whole house retrofit, evidence is required to explore the limitations, risks and potential benefits. This evidence should be produced through a combination of measurement and modelling and will be used to inform our future retrofit strategy, ensuring the most effective methods are followed to maximise positive impact.

In addition to fulfilling the central aim of providing an evidence base in support of a whole house approach to retrofit, this research will address specific areas that require further exploration such as the barriers to solid wall retrofit and the potential for less common retrofit measures to contribute to a whole house approach. The findings from this activity will support our existing understanding of retrofit performance to enable better evaluation of the whole house approach. Whilst solid wall dwellings are of particular interest in the present project due to their retrofit complexity, all research should be grounded in the wider narrative of the whole house approach to retrofit.

## 2. Background

In order to achieve climate change objectives, energy use in homes must be decarbonised. For domestic heat, this means improving the thermal efficiency of homes to lower demand and providing the residual demand from low carbon sources. This project is focussed on establishing the potential for energy demand reduction through the retrofit of existing homes, and the limitations and risks associated with such retrofit.

Historically, government research projects have focused on single-measure energy-efficiency retrofit. For example, the typical reduction in energy loss following the insulation of a previously uninsulated wall. Whilst providing valuable insight into the benefits and limitations of single retrofit measures, this approach typically neglects the fact that individual fabric elements are part of a wider system.

This research seeks to quantify the benefits of considering the whole building system through the adoption of a whole house approach, and identify the risk of neglecting the interaction between fabric, ventilation and the occupant. This will inform methods to improve retrofit practices and provide an evidence base for the potential of adopting a whole house retrofit strategy.

In order to address the central aim of evaluating the benefits of taking a whole house approach to retrofit, several specific questions must also be addressed during this research. Previous studies funded by BEIS have developed good understanding of certain fabric elements, however gaps still remain which require further exploration. Exploration of less understood energy efficiency measures therefore form specific research questions, to be considered within the central research focus.

### **3. Research questions**

Following completion, this research should provide an evidence-led response to the following questions:

1. What are the benefits of taking a whole house approach to retrofit?
2. What are the risks (unintended consequences) of not considering the whole house system during retrofit?

To answer the central questions defined above, evidence is required to address several specific knowledge gaps in building retrofit performance. In answering the questions defined below, the evidence produced should be considered alongside previous research exploring retrofit performance, with the intention to provide a more complete picture of retrofit performance at a whole house, system level.

This research should provide an evidence-led response to the following questions, which will feed into addressing the central aim to evaluate the benefits of a whole house retrofit approach:

3. What are the potential benefits of less common energy efficiency retrofit measures such as insulating floors and increasing airtightness, and where do energy savings occur following retrofit?
4. What is the realistic technical and practical potential for retrofit of solid wall dwellings?
5. Is existing risk mitigation guidance appropriate, specifically with regard to air exchange?
6. Is there evidence of retrofit degradation/failure over time and what are the potential implications?

Several objectives have been identified to enable these questions to be answered, although these should not be considered prescriptive and the contractor may propose additional

activities that are relevant in addressing the research questions. Bidders should consider the central research focus of the investigation of whole house retrofit when developing their proposals, and ensure proposed activities are relevant and do not repeat previous research.

1. To review relevant knowledge on building retrofit performance to provide a foundation for research activities.
2. To improve the accuracy of inputs to building simulation models to enable confidence in outputs.
3. To use a range of these models to evaluate the benefits of adopting a whole house approach to retrofit and the potential unintended consequences of neglecting such an approach.
4. To measure the impact retrofit has on the whole building system, to enable inclusion in models.
5. To measure the proportional energy savings due to fabric and ventilation change following retrofit, to enable inclusion in models.
6. To measure the impact of insulating floors as a retrofit measure and for inclusion in models.
7. To measure the impact of increased airtightness as a retrofit measure and for inclusion in models.
8. To characterise the technical and practical barriers to solid wall building retrofit.
9. To evaluate historic retrofits to understand changes in performance over time.

#### **4. Methodology**

The DEEP research project is to be delivered through a combination of desk-based research, in-situ measurement, laboratory investigation and modelling. All aspects of this programme will be informed by a literature review on the current state of the art. It is important to clarify that the research activities in the DEEP project should be coordinated and collaborative, and your approach to ensuring this should be elaborated in your proposal.

Your proposal should be conscious of previous research and aware of the identified knowledge gaps to ensure no repetition of effort. Recent research supported by BEIS has provided a body of evidence on the behaviour of single-measure retrofit and the characterisation of domestic construction. The DEEP project seeks to expand and build upon this existing research to consider the whole house system, and this central aim should be reflected throughout your proposal.

Specific methods for addressing the research questions should be detailed in your submission. Indicative methods and additional detail for each of the defined research objectives are provided below.

##### **Objective 1: To review relevant knowledge on building retrofit performance to provide a foundation for research activities.**

A literature review is required to establish a baseline of evidence to work from for the project. This should identify the state of the art in the range of individual energy efficiency measures, multi-measure retrofit approaches and whole house retrofit techniques relevant to this project,

including complementary technologies such as ventilation. It should also identify research exploring the prevention of unintended consequences of retrofit, such as damp and mould.

The literature review should support an evidence-led strategy towards the fulfilment of the research project, outlining robust methods and knowledge gaps to maximise the reliability and impact of outputs.

**Objective 2: To improve the accuracy of inputs to building simulation models to enable confidence in outputs.**

This research will require a suite of building simulation models, the choice of which will be up to the bidder and specified in your submission. To maximise confidence in the validity of outputs from building simulation models, it is essential that input values are accurate. BEIS requires enhancements to existing model inputs to improve their validity for UK dwellings and improve confidence in results across a range of scenarios. Three specific areas of model improvement have been identified and appropriate methods for their improvement should be defined in your submission.

- Appropriate weather data should be used during modelling to best reflect the local conditions for UK buildings. An approach for improving weather input data, either through own measurement or using third-party data, should be defined and demonstrated.
- Occupancy is a key factor in building retrofit performance. An approach to define a range of occupant scenarios for inclusion in modelling should be discussed in your submission, with the aim of improving confidence in the evaluation of retrofit benefits and risks. Where appropriate, models should consider:
  - Occupant presence (hours of occupation)
  - Occupant density (number of occupants)
  - Energy use
  - Internal moisture creation

It is anticipated that a suite of occupancy profiles will be established covering the above issues to enable the evaluation of changes in building performance and unintended consequences arising from a change in occupancy, and your submission should identify your intended approach in their definition. Occupancy profiles should be informed by both data (e.g. Energy Follow-Up Survey (EFUS), smart meter data etc.) and previous research to avoid repetition of activity.

- It is important that material properties used during model creation are representative of those in the UK housing stock. Previous modelling studies have relied on material properties for non-UK materials. Model input data should therefore be from an appropriate source. Where there are gaps in the existing material properties databases, you should establish the significance of this and, where appropriate, measure actual material properties through laboratory or in-situ tests.

**Objective 3: To use a range of these models to evaluate the benefits of adopting a whole house approach to retrofit and the unintended consequences of neglecting such an approach.**

Modelling activity is required to evaluate the benefits of adopting a whole house approach to retrofit when compared with a single measure approach. Modelling activity should also identify

the risks associated with neglecting the interaction of the building fabric, ventilation and occupant when undertaking retrofit. Modelling is anticipated to represent a significant element of this research project, and the scope of activity in your proposal should reflect this.

Your modelling approach should be capable of extending the findings of measurement activities beyond the boundaries of the physical tests. This should include different building types and contextual settings. Models should be supported by empirical data, aligning with measurement activities to maximise model reliability and enable the verification of model outputs. Modelling should also support measurement activities, identifying phenomena that may require additional attention during data collection. Previous research has established strong evidence on the interaction of retrofit measures at a localised scale e.g. the junction between building elements, and the lessons from this should be expanded upon to provide insight into retrofit impact at the dwelling scale.

Risk evaluation may include, but is not limited to; moisture, thermal performance, ventilation, indoor air quality, overheating, thermal comfort and energy saving potential. Bidders should be aware that BEIS has recent research exploring moisture risk in retrofit, and modelling activity should not concentrate solely on the exploration of moisture.

It is essential that consideration is given to the identification of unintended consequences of retrofit and the risks they may present. The output from modelling activity should enable the impacts of retrofit approaches to be readily understood, quantified and, in the case of risk, mitigated. An appropriate set of modelling approaches should be identified in your bid in support of this.

BEIS require evidence on the interaction of retrofit measures on a whole house level and not only on a localised level such as the junction between building elements. Models should therefore facilitate evaluation of retrofit co-dependencies in the context of the whole house , in support of the central aim to evaluate the benefits of a whole house approach. Specifically, the way in which benefits may be increased or risks created and compounded beyond the sum of individual measures.

**Objective 4: To measure the impact retrofit has on the whole building system, to enable inclusion in models.**

**Objective 5: To measure the proportional energy savings due to fabric and ventilation change following retrofit, to enable inclusion in models.**

**Objective 6: To measure the impact of insulating floors as a retrofit measure and for inclusion in models.**

**Objective 7: To measure the impact of increased airtightness as a retrofit measure and for inclusion in models.**

Objectives 4 – 7 should be addressed though detailed in-situ measurement of existing dwellings before and after energy efficiency retrofit. In-situ testing should provide evidence on the potential of a range of energy efficiency measures that a home could have, considering all fabric elements (walls, floors, lofts, glazing, airtightness, etc.). Testing should articulate the

benefits of each energy efficiency measure of a retrofit scheme, as well as their interaction as a part of a whole system. Testing should enable disaggregation of energy saving into conduction and ventilation components, to enable the inclusion of this in models. Testing should also quantify the propagation of risk due to the impact of energy efficiency retrofit measures on the whole system.

When considering the various opportunities for retrofit, whilst a range of energy efficiency measures should be considered during in-situ tests, BEIS requires more information on the opportunity for insulating ground floors. Specifically, we wish to know how the insulation of a suspended ground floor affects the whole house energy system and the energy saving this may incur. Measurements should consider how insulating a suspended floor affects ventilation and conduction heat loss and consider how the floor construction may influence this.

In addition to insulating floors, BEIS wishes to understand whether intentional air tightening should be considered as an energy efficiency measure in its own right. Measurements should identify the potential for energy saving and consider the risks of increased airtightness. Increased airtightness, either through intentional sealing or as an unintended consequence of retrofit, presents a range of risks including moisture accumulation, poor internal air quality and overheating. BEIS requires more information on the acceptable levels of air exchange to inform risk mitigation guidance for the avoidance of moisture accumulation and mould growth. Tests should consider air exchange with the external environment at both elevated and atmospheric pressure.

Measured data should be used to develop, support and verify findings of the building model(s). Empirical data should therefore enable characterisation of the changes to the whole house system caused by retrofit, to enable inclusion in models and facilitate better understanding of the benefits of a whole house approach to energy efficiency retrofit.

BEIS require more evidence on retrofit performance in solid wall dwellings, and the dwellings chosen for in-situ tests should reflect this. Specifically, BEIS wishes to understand the retrofit potential of solid wall dwellings when considered alongside the barriers to retrofit that are common in traditional buildings. You should articulate in your submission the quantity and variety of in-situ test houses you anticipate including during this project, together with the energy efficiency retrofit measures which will be investigated.

In order to investigate a range of energy efficiency measures and their influence on the whole house system, it is anticipated that in-situ measurement will occur during both winter periods within the project timeline. Test homes should feature multiple energy efficiency retrofit measures and identify the relative influence of each measure regarding energy saving and risk propagation together with their impact on the whole house system. Your submission should describe the specific tests you intend to undertake together with a rationale as to why your methods will answer the research questions.

**Objective 8: To characterise the technical and practical barriers to solid wall building retrofit.**

Previous research has focussed on the technical challenges of solid wall retrofit measures (e.g. fabric insulation). In order to identify the potential for reducing the heating energy demand



of solid wall dwellings, more information is required about the practical barriers to solid wall retrofit (e.g. geographic location, planning restrictions, access issues), and how these align with the known technical challenges identified in previous research.

Geographic location can influence the potential for retrofit in multiple ways, including access, conservation or planning restrictions and unsuitable local prevailing weather. An appraisal of these limitations is required, with limitations categorised according to their frequency and impact on retrofit measures. The identified limitations should be considered during modelling activities to ensure the potential benefits of retrofit are grounded in evidence-led reality.

In addition to this, BEIS requires information on the airtightness of solid wall dwellings to understand energy consumption and the likelihood of retrofit not achieving its predicted performance. Excessive air exchange may cause high energy consumption and undermine the performance of fabric insulation. Additionally, unintended sealing caused by energy efficiency retrofit may increase risk of poor air quality and moisture retention.

A sample of solid wall dwellings should be tested to quantify airtightness and characterise air movement behaviour, including determining unintentional air leakage pathways. The size of this sample should be sufficient to provide confidence in measurements, and such measurements should enable the characterisation of the various air movement phenomena that are observed, and their relationship with the building fabric. Your submission should detail the methods you intend to use for this activity. This data should be used to improve modelling activities and provide further evidence towards the benefits and risks of adopting or neglecting a whole house approach to retrofit.

**Objective 9: To evaluate historic retrofit to understand change in performance over time.**

BEIS's long term projections of carbon emissions from buildings require robust evidence about the life time of different retrofit measures. To support the evidence identified during literature review and in-situ tests this project shall investigate how retrofit performance changes over time. This will involve the physical examination of historic retrofits to develop better assumptions on life times and performance degradation and the factors influencing it.

We require the contractor to identify and visit previously retrofitted buildings to evaluate historic performance and behaviour. Specifically, this should include, but not be limited to, visits to dwellings where there has been reported failure of the retrofit. The contractor should holistically evaluate the reasons for failure, incorporating technical, design and behavioural factors. The investigations should aim to include a range of building archetypes and energy efficiency technologies across a sample large enough to identify commonly occurring issues rather than anecdotal examples. Such work should expand on existing studies of retrofit performance to avoid duplication. The methods of evaluation together with an indicative sample size and research approach should be detailed in your submission. Any proposed fieldwork should consider the disruption of methods used, from visual surveys to more invasive investigations, and balance this with realistic sample sizes and the expected level of detail which will be obtained.

In addition to investigating the failure of retrofit arising from unforeseen issues, we require investigation into how the performance of energy efficiency measures may change over time. Specifically, how the performance of an energy efficiency measure degrades from its original state, what influences this degradation and what impact it has on energy performance.

Investigations should identify the reasons for change in performance, and where possible quantify the impact of such change through in-situ measurements. Your bid should identify a list of energy efficiency measures you propose to investigate, and which testing approach you will employ to gather robust data in this area. Performance degradation should be considered in the whole house context, encompassing both fabric and airtightness/ventilation.

## **5. Outputs Required**

- A. Fortnightly written updates for project monitoring purposes, to include progress on milestones, near-term objective, early indication of emerging issues and any other relevant details.
- B. Quarterly progress reports, accompanied by attendance at project review meetings. The reports will be used internally in BEIS to update stakeholders on programme progress, interim results and to facilitate opportunity to make changes to scope where necessary. Quarterly (or more often if necessary) project review meetings will take place at BEIS or, by agreement, at another suitable location.
- C. Literature review for publication, described in Objective 1, to be completed prior to commencement of in-situ testing.
- D. Interim report detailing results from the first heating season. This should include a proposal and justification for the research plan in year two, for BEIS's consideration.
- E. BEIS will hold at least one interim stakeholder engagement event on the findings of DEEP. The successful bidder will give presentations and discuss the implications of the findings to date. These will shape the future direction of the research programme. At project closure, we will hold a similar engagement event to disseminate findings from the programme, which the successful bidder will also contribute to.
- F. A final report, for publication, providing an overview of the entire programme, its findings and recommendations. This report will join up all the research undertaken to describe the energy efficiency potential with today's retrofit technology across the UK's housing stock.

Where specified, reports must be suitable for publication on the Government's website and produced in accordance with BEIS report writing guidance, as set out in section 7 below. Reports must be of a sufficiently high standard to be published. Our experience shows that this may require more than one draft and this should be taken into account when considering timelines and costs. To demonstrate relevant experience in producing high quality reporting, Contractors must specify who in the project team will be responsible for drafting the report,

and specify who will be responsible for quality assurance before it comes to BEIS.

The reports should comprise an Executive Summary, individual chapters describing approach, methodology, analysis, results, and conclusions. The conclusions should address the Aims and Objectives above, and the Executive Summary should provide a summary of the method, analysis, and conclusions, together with insight into the implications of these findings.

Reporting structure should also be considered in your proposal. Due to the inter-disciplinary nature of this programme, it may be preferable to prepare multiple reports to cover the range of research undertaken. Your proposal should indicate how you envisage collating reports to cover the research undertaken, preparation of short summaries, interim reports and other communication material as necessary.

## **6. Ownership and Publication**

BEIS will own all the outputs of the project, including all data (raw, cleaned, and summary spreadsheets), project management outputs, analyses (including script files / excel source code etc.) and reports. The datasets will be made available through the UK Data Archive and all reports will be published on the Government's website.

## **7. Quality Assurance**

The contractor must state how all of the work on the project will be quality assured by producing a Quality Assurance (QA) plan. A summary of this plan should be included within the main application proposal.

- Ensure that QA is carried out by individuals who were not directly involved in the research, analysis or model development.
- Specify the named individual responsible for QA of all deliverables before they are provided to BEIS.

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

A BEIS review panel will review all draft and final outputs, and the contractor must address all comments provided. The BEIS project manager is responsible for collating and communicating the comments to the contractor.

Draft outputs of the interim and final reports and datasets must be submitted by the deadlines given in Section 8 below. These will be reviewed by the BEIS review panel and then the Contractor will present the draft interim and final results to the panel at BEIS offices. Verbal and written comments will be collated by the BEIS project manager and submitted to the Contractor following each presentation. The Contractor shall respond to all comments in writing and update the deliverables accordingly.

Invoices for milestones linked to deliverables will only be processed once the submitted review panel comments have been addressed to the standard deemed acceptable by the BEIS

project manager and the deliverable approved by the BEIS Senior Analyst.

The BEIS review panel will scrutinise not only the quality of the data and analysis but the quality of the reporting. Reports deemed by BEIS to be poorly written and poorly presented will be returned to the supplier for rework. The Contractor will be expected to produce high quality reports that meet the following criteria:

- General: Answer the research questions and objectives clearly, in plain English.
- Are clearly structured so that information presented in each section of each report is clear.
- Identify and explain variations in the experimental results.
- Connections between sections and reports are clear.
- Executive summaries of a maximum of two pages (with the exception of the final report, which is a maximum of four pages) that set out the findings clearly and their relevance to BEIS policies.
- All sections have clear introductions and conclusions (including findings being written concisely upfront).

Use of quality English:

- Thoroughly peer reviewed for writing quality.
- No jargon is used and all terms are defined and referenced clearly.
- All acronyms are written out in full the first time that they are mentioned in each section of each report.
- No grammar or phrasing errors.
- No typographical errors present.

Visualisations:

- All visualisations are labelled.
- All axes are labelled, including appropriate units.
- Clear and appropriate use of visualisations (large enough size, data can be read clearly without reference to the raw data).
- All visualisations are clearly explained and discussed.

Data quality:

- Limitations in the research approach must be clearly stated and justified.
- Further research should be stated to build upon the limitations that cannot be addressed in this research.
- Where the findings are stronger and more robust, and where they are not, needs to be stated clearly.
- Appropriate and consistent use of units.
- All numerical units should include the range of uncertainty / error margin.
- Datasets must be usable and have clear instructions on how to use them.

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- Statistics on lost data (e.g. from faulty equipment, participant interference, etc.) and the impacts on data quality should be clearly stated.

### Quality Assurance:

- All datasets, reports and analyses must be independently quality assured by at least three experts.

## 8. Timetable

An indicative timeline for the project, from contract award to completion, is given below. The timetable for the tender process itself is in Section, 1 Part A on page 6.

No.	Milestone	When
I	Contract Award	October 2019
II	Mobilisation Period	From contract award
III	Contractor secures homes to undertake tests	December 2019
IV	Completion of literature reviews	February 2020
V	Interim modelling and testing results	April 2020
VI	Completion of first Winter Testing with results <sup>1</sup>	July 2020
VII	Home surveys complete, mid project presentations and steering board approve next steps	September 2020
VIII	Contractor to begin tests in second year	October 2020
IX	Interim results from 2 <sup>nd</sup> year tests	January 2021
X	Completion of all physical testing	April 2021
XI	Final reports	July 2021

## 9. Challenges

There will be many challenges to conducting this research, some are given in this section. The Contractor must consider how these and any other challenges will be addressed through the research design and delivery. Part of the scoring of the bids will include an assessment of how the Contractor will identify and mitigate challenges and risks (the bid evaluation criteria are included in Section 16 below). Some of the challenges we have contemplated are:

1. Coordination of research activities, especially between multiple parties in the event of a consortium bid.
2. Identifying and procuring test homes to undertake in-situ research.
3. Risks associated with the successful fulfilment of in-situ tests within the programme timeframe.
4. Over-reliance on individuals and specialist facilities/equipment.

## 10. Ethics

All applicants will need to identify and propose arrangements for initial scrutiny and on-going

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<sup>1</sup> Depending on project progress, there may be a desire to publish interim findings on gov.uk

monitoring of ethical issues. The appropriate handling of ethical issues is part of the tender assessment exercise and proposals will be evaluated on this as part of the 'addressing challenges and risks' criterion.

Contractors shall adhere to the Government Social Research Code<sup>2</sup>.

## **11. 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 for the Department.

## **12. Data Protection**

The Contractor will be compliant with the Data Protection Legislation, as defined in the terms and conditions applying to this Invitation to Tender. A guide to The General Data Protection Regulation published by the Information Commissioner's Office can be found [here](#).

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. The Contractor shall be responsible for the acts and omissions of its sub-contractors as though those acts and omissions were its own.

## **Annex 1: 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](mailto:dataprotection@beis.gov.uk)

2. The contact details of the Contractor's Data Protection Officer (or if not applicable, details of the person responsible for data protection in the organisation) are: [To be completed by the Contractor]
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 1.

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<sup>2</sup> <https://www.gov.uk/government/publications/the-government-social-research-code-people-and-products>

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Description	Details
Subject matter of the processing	<p>The processing is needed to ensure that the Contractor can effectively deliver the DEEP research programme.</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>
Duration of the processing	<p>Processing will take place from 25<sup>th</sup> October 2019 for the duration of the Contract. The Contract will end on 31<sup>st</sup> July 2021 but may be extended.</p>
Nature and purposes of the processing	<p>The nature of the processing may 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 research.</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>
Type of Personal Data	<p>This contract will involve processing personal data, which may include name, address, date of birth, email address and telephone number, income level, welfare status, and health data.<sup>3</sup></p> <p>This will also include 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</p>

<sup>3</sup> Some of these potential types of data may be considered 'Special categories of personal data' as defined under GDPR Article 9, for example data concerning health. The contractor must ensure that it complies with Article 5(1)(f) of GDPR to protect the integrity and confidentiality of personal data. If the contractor is processing special categories of personal data, it must consider the effects of this on the measures it takes to comply with the principles of secure processing described in GDPR Article 32(1).

Description	Details
	to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.
Categories of Data Subject	<p>Data subjects under this research programme may include home owners, staff of subcontractors and others working in the industry, and members of the public.</p> <p>This will also include staff of the Authority and the Contractor, including where those employees are named within the Contract itself or involved within contract management.</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 Personal Data will be retained by the Contractor for a twelve-month retention period, following which the Contractor will provide the Authority with a complete and uncorrupted version of the Personal Data in electronic form (or such other format as reasonably required by the Authority) and erase from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract and the Contractor retention period. The Contractor will certify to the Authority that it has completed such deletion.</p> <p>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.

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

### 13. Skills and experience

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

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



Contractors should identify the individual(s) who will be responsible for managing the project, including:

- Coordinating and integrating delivery across the workstreams/outputs (including data and findings)
- Ensuring the timely completion of outputs
- Maintaining a project management plan, ensuring resources are scheduled and managed across the workstreams
- Monitoring, assessing and reporting progress against the agreed project plan
- Providing timely and accurate invoicing, linked to milestones
- Managing risks across the workstreams and throughout the contract, including the creation and regular review of a project risk register, and escalating risks to BEIS project governance

#### **14. Consortium Bids**

In the case of a consortium tender, by which we mean a delivery team involving participants from more than one commercial entity, only one submission covering all of the participants is required. Contractors should make clear the proposed role that each participant will play in performing the contract as per the requirements of the technical specification. We expect the bidder to indicate which member of the consortium will contract with BEIS and the organisation and governance associated with the consortia.

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

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

The Department recognises that arrangements in relation to consortia may (within limits) be subject to future change. Contractors should therefore respond in the light of the arrangements as currently envisaged. Contractors 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.

#### **15. Budget**

The budget for this project is up to £2.85 million excluding VAT. The price of the winning bid will be a fixed price and paid in line with achievement of agreed milestones.

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

Cost will be a criterion against which bids which will be assessed – see part 16 below.

Payments will be linked to delivery of key milestones, which you should propose in your bid, although we will agree these at the project kick-off meeting. Please state in your tender response how this breakdown reflects your usual payment processes.

In submitting full tenders, contractors confirm in writing that the price offered will be held for a minimum of 60 calendar days from the date of submission. Any payment conditions applicable to the proposed 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.

## 16. Evaluation of Tenders

Contractors are invited to submit full tenders of no more than (35) pages, excluding declarations, price breakdown annex and supporting CVs. Your bid should state the full cost of your bid plus VAT, supported with an annex to justify your price. In the body of your bid you should identify the team members responsible for the proposed work, with a CV annex that demonstrates their skills. All other annexes submitted to support your tender will not be marked. Tenders will be evaluated by at least three assessors.

Contractors will be assessed for suitability against the declarations outlined in Sections 3 and 4 on a pass/fail basis. BEIS will then select a successful contractor from the proposal that scores highest against the criteria and weighting below.

BEIS reserves the right not to award a contract.

### Evaluation criteria and scoring methodology

<b>Criterion</b>	<b>Description</b>	<b>Weighting</b>
<b>01</b>	<b>Understanding of Requirements</b>	<b>10%</b>
	Demonstrate understanding of the role of the project outcomes in future policy.	5%
	Demonstrate understanding of the requirement for modelling and measurement activity in relation to understanding the benefits of a whole house retrofit approach.	5%
<b>02</b>	<b>Methodology</b>	<b>35%</b>
	Define a robust method to improve the accuracy of model outputs.	5%
	Define a robust, appropriate and detailed approach to modelling the benefits and risks of retrofit, specifically considering a whole house approach.	10%
	Define a robust, appropriate and detailed approach to the in-situ measurement of retrofit performance, specifically considering a whole house approach.	10%
	Define a robust method for large scale field measurement of dwellings, specifically air tightness of solid wall dwellings and retrofit	5%

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	degradation.	
	Define an approach to the management and coordination of activities and the timely production of project deliverables.	5%
<b>03</b>	<b>Addressing Challenges and Risks</b>	<b>10%</b>
	Identification and mitigation of project risks and challenges including, but not limited to, those identified in Section 2 parts 9 and 10.	10%
<b>04</b>	<b>Skills of Contractors and Deployment of Staff</b>	<b>20%</b>
	Demonstrated capability/expertise in large-scale project management and appropriate analytical projects. The DEEP project should be coordinated and collaborative, and your approach to ensuring this should be elaborated in your proposal.	5%
	To include a quality assurance plan addressing the requirements set out in Section 2 part 7.	
	Demonstrated capability/expertise in building modelling research and analysis related to energy consumption and risk management.	5%
	Demonstrated capability/expertise in the in-situ measurement and analysis of building performance related to energy consumption and risk management.	5%
	Justification of staff deployment	5%
<b>05</b>	<b>Cost (proportionate to lowest price)</b>	<b>25%</b>
		<b>100%</b>

### Scoring Method

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

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

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

### Scoring example for pricing evaluation (proportionate to lowest price)

There will be a maximum of 25 marks. The lowest priced bid will receive the full 25 marks, and we will mark all other bids proportionately, as set out in the example below:

If 25% = 25 marks

Supplier	Price	Marks
1 (lowest bid)	£50,000	25
2	£60,000	$50/60 * 25 = 20.8$
3	£75,000	$50/75 * 25 = 16.7$

### Structure of Tenders

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

### Bid Clarification

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

### Feedback

We will give feedback to unsuccessful bidders by email.

## Section 3

### Further Information on Tender Procedure

Invitation to Tender for *Demonstration of Energy Efficiency Potential (DEEP)*  
Tender Reference Number: 1999/07/2019  
Deadline for Tender Responses: 19/09/2019 2:00 PM GMT

#### Contents:

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

## **B. Data security**

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

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

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

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has indulged or attempted to indulge in such practices and the tender is accepted, then grounds shall exist for the termination of the contract and the claiming damages from the successful contractors. You must not:

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

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

## Section 4

### Declarations to be submitted by the Tenderer

Invitation to Tender for *Demonstration of Energy Efficiency Potential (DEEP)*

Tender Reference Number: 1999/07/2019

Deadline for Tender Responses: 19/09/2019 2:00 PM GMT

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**17. Declaration 1: Statement of non-collusion**

To: The Department for Business, Energy & Industrial Strategy

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

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

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

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

## 18. Declaration 2: Form of Tender

To: The Department for Business, Energy & Industrial Strategy

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

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

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

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

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

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

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

.....  
Signature (duly authorised on behalf of the tenderer)

.....  
Print name

.....  
On behalf of (organisation name)

.....  
Date

**19. Declaration 3: Conflict of Interest**

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

Signed .....

Name .....

Position .....

**OR**

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

- X
- X

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

- X
- X

Signed .....

Name .....

Position .....

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

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

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

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- 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.

## 20. Declaration 4: Standard Selection Questionnaire

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

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion<sup>4</sup>. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

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

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

*Alternatively you can submit the completed Exclusion Grounds of the [EU ESPD \(Part III\)](#) as a downloaded XML file to the buyer contact point along with the selection information requested in the procurement documentation.*

### Supplier Selection Questions: Part 3

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

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

### Consequences of misrepresentation

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

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<sup>4</sup> For the list of exclusions please see [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/551130/List\\_of\\_Mandatory\\_and\\_Disciplinary\\_Exclusions.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf)

**Demonstration of Energy Efficiency Potential (DEEP)**

**TRN 1999/07/2019**

**Procurement Procedure: Open**

**Notes for completion**

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

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<sup>5</sup> 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	

ITT: Demonstration of Energy Efficiency Potential (DEEP)

Section 1	Potential supplier information	
Question number	Question	Response
	c) Public service mutual	
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME) <sup>6</sup> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(n)	<p>Details of Persons of Significant Control (PSC), where appropriate: <sup>7</sup></p> <ul style="list-style-type: none"> <li>- Name;</li> <li>- Date of birth;</li> <li>- Nationality;</li> <li>- Country, state or part of the UK where the PSC usually lives;</li> <li>- Service address;</li> <li>- The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);</li> <li>- Which conditions for being a PSC are met;                             <ul style="list-style-type: none"> <li>- Over 25% up to (and including) 50%,</li> <li>- More than 50% and less than 75%,</li> <li>- 75% or more. <sup>8</sup></li> </ul> </li> </ul> <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"> <li>- Full name of the immediate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <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"> <li>- Full name of the ultimate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <p>(Please enter N/A if not applicable)</p>	

<sup>6</sup> See EU definition of SME: <http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/>

<sup>7</sup> 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.](#)

<sup>8</sup> Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award.



## ITT: Demonstration of Energy Efficiency Potential (DEEP)

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.

ITT: Demonstration of Energy Efficiency Potential (DEEP)

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 <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	

## 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)	<p><b>Regulations 57(1) and (2)</b>                      The detailed grounds for mandatory exclusion of an organisation are set out on this <a href="#">web page</a>, which should be referred to before completing these questions.                      Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the <a href="#">webpage</a>.</p>	
	Participation in a criminal organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Corruption.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Fraud.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Terrorist offences or offences linked to terrorist activities	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Money laundering or terrorist financing	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Child labour and other forms of trafficking in human beings	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
2.1(b)	If you have answered yes to question 2.1(a), please provide further details. Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, Identity of who has been convicted If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	
2.2	If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion ? (Self Cleaning)	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.3(a)	<b>Regulation 57(3)</b>	Yes <input type="checkbox"/>

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Section 2	Grounds for mandatory exclusion	
Question number	Question	Response
	<p>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?</p>	<p>No <input type="checkbox"/></p>
2.3(b)	<p>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.</p>	

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.

ITT: Demonstration of Energy Efficiency Potential (DEEP)

Section 3		Grounds for discretionary exclusion
	Question	Response
3.1	<p><b>Regulation 57 (8)</b></p> <p>The detailed grounds for discretionary exclusion of an organisation are set out on this <a href="#">web page</a>, which should be referred to before completing these questions.</p> <p>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.</p>	
3.1(a)	Breach of environmental obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1 (b)	Breach of social obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1 (c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(j)	Please answer the following statements	
3.1(j) - (i)		Yes <input type="checkbox"/>

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Section 3		Grounds for discretionary exclusion
	Question	Response
3.1(j) - (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) - (ii)	The organisation has withheld such information.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) - (iii)	The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) - (iv)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Yes <input type="checkbox"/> No <input type="checkbox"/> 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)	
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## Part 3: Selection Questions<sup>9</sup>

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 <b>one</b> of the following: answer with Y/N in the relevant box.	Yes <input type="checkbox"/> No <input type="checkbox"/>
	(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 <input type="checkbox"/> No <input type="checkbox"/>
	(b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.	Yes <input type="checkbox"/> No <input type="checkbox"/>
	(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 <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>

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 <input type="checkbox"/> No <input type="checkbox"/>
5.2	If yes, would the parent company be willing to provide a guarantee if necessary?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.3	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Yes <input type="checkbox"/> No <input type="checkbox"/>

<sup>9</sup> [See Action Note 8/16 Updated Standard Selection Questionnaire](#)



<b>Section 6</b>	<b>Technical and Professional Ability</b>
<b>6.1</b>	<p><b>Relevant experience and contract examples</b></p> <p>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.</p> <p>The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.</p> <p>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).</p> <p>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.</p> <p>If you cannot provide examples see question 6.3</p>

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

<b>6.2</b>	<p>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)</p> <p>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)</p>

<b>6.3</b>	<p>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.</p>

<b>Section 7</b>	<b>Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015<sup>10</sup></b>	
<b>7.1</b>	<p>Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?</p>	<p>Yes <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
<b>7.2</b>	<p>If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?</p>	<p>Yes <input type="checkbox"/></p> <p>Please provide relevant the url ...</p> <p>No <input type="checkbox"/></p> <p>Please provide an explanation</p>

<sup>10</sup> [Procurement Policy Note 9/16 Modern Slavery Act 2015](#)

Section 8	The General Data Protection Regulation (GDPR) <sup>11</sup>	
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 25<sup>th</sup> May 2018. Will your organisation be compliant with the GDPR and all Data Protection Legislation (as defined in the terms and conditions applying to this Invitation to Tender) in regards to the processing required under this contract by the time of contract award?</p> <p>Contractors are also required to complete Declaration 5: The General Data Protection Regulation Assurance Questionnaire for Contractors, to evidence the extent of readiness. The Authority may ask the Contractor to provide evidence to support the position stated in the questionnaire. The Authority may require the successful Contractor to increase their preparedness where the Authority is not satisfied that the Contractor will be in a position to meet its obligations under the terms and conditions. If the Contractor fails to satisfy the Authority that it will be in a position to meet its obligations under the terms and conditions in the event that the Contractor is successful, the Authority reserves the right to exclude the bidder from this procurement.</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

<sup>11</sup> [Procurement Policy Note 02/18 Changes to Data Protection Legislation & General Data Protection Regulation](#)

## 9. Additional Questions

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

Section 9	Additional Questions
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9.4	<b>Suppliers' Past Performance<sup>12</sup> - (please refer to supplier selection guidance - this question should only be included by central government contracting authorities)</b>	
a.	Can you supply a list of your relevant principal contracts for goods and/or services provided in the last three years?	Yes <input type="checkbox"/> No <input type="checkbox"/>
b.	On request can you provide a certificate from those customers on the list?	Yes <input type="checkbox"/> No <input type="checkbox"/>
c.	If you cannot obtain a certificate from a customer can you explain the reasons why?	Yes <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>

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



gdp-assurance-questionnaire.xlsx

<sup>12</sup> [Procurement Policy Note 04/15 Taking Account of Suppliers' Past Performance](#)

## 22. Declaration 6: Code of Practice for Research<sup>13</sup>

I confirm that I am aware of the requirements of the Department's Code of Practice<sup>14</sup> 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<sup>15</sup>:

- 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.)

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<sup>13</sup> Please note that this declaration applies to individuals, single organisations and consortia.

<sup>14</sup> The Code of Practice is attached to this ITT as Annex B

<sup>15</sup> Please delete as appropriate

**Annex A: Pricing Schedule**

**Part A – Staff/project team charges**

Set up Costs – please specify	
Expenses	

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

[\*Suppliers should also include sub-contractors]

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

<u>Item</u>	<u>No. of items</u>	<u>Price per item (ex VAT)</u>	<u>Total price per offered</u>
		£	£
		£	£
		£	£
		£	£
		£	£
<b>Sub-total</b>			<b>£</b>

**Part C – Full price offered**

<b>Sub-total (Part A + Part B)</b>	<b>£</b>
<b>VAT</b>	<b>£</b>
<b>TOTAL (Sub-total + VAT)</b>	<b>£</b>

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

### **CODE OF PRACTICE FOR RESEARCH**

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

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

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

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

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

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

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

Most contractors will already have in place many of the measures set out in the Code and its adoption should not require great effort.

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

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

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

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

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

Monitoring of compliance with the Code is necessary to ensure:

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

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

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

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

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

### ***1. Responsibilities***

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

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

### ***2. Competence***

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

### ***3. Project planning***

An appropriate level of risk assessment must be conducted to demonstrate awareness of the key factors that will influence the success of the project and the ability to meet its objectives. There must be a written project plan showing that these factors (including research design, statistical methods and others) have been addressed. Projects must be ethical and project plans must be agreed in collaboration with the Department, taking account of the requirements of ethical committees<sup>16</sup> 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

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<sup>16</sup> Please note ethical approval does not remove the responsibility of the individual for ethical behaviour.



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 trail 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 work and responsible for ensuring that regular reviews of the records of each researcher are conducted<sup>17</sup>

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>

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<sup>17</sup> Please note that this also applies to projects being undertaken by consortia.

## **Annex C: Mandatory Exclusion Grounds**

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

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

#### **Participation in a criminal organisation**

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

Conspiracy within the meaning of

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

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

#### **Corruption**

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

The common law offence of bribery;

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

#### **Fraud**

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

- the common law offence of cheating the Revenue;
- the common law offence of conspiracy to defraud;
- fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
- fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
- fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;
- an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;

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- 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;

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- 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 26<sup>th</sup> 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

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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).