



Department for  
Business, Energy  
& Industrial Strategy

Net Zero Innovation Portfolio

# Automatic Asset Registration Programme: Phase 1- Feasibility Studies

SBRI COMPETITION GUIDANCE NOTES

April 2022



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NZIP – Automatic Asset Registration

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

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# Glossary of terms and definitions

AAR	Automatic Asset Registration
Authority / Contracting Authority	The Department for Business, Energy and Industrial Strategy (BEIS), 1 Victoria Street, London S1 0ET
BEIS	Department for Business Energy and Industrial Strategy
Applicant	A company, organisation or consortia of companies and/or organisations that submits a tender in response to the competition
CAPEX	Capital expenditure
CAR	Central Asset Register
CARS	Coordinated Asset Registration Strategy
Competition	Means the process used to establish awarding of contracts for the provision of feasibility studies relating to interoperable energy management systems
DSR	Demand Side Response
DSRSP	Demand Side Response Service Provider
FAQs	frequently asked questions
Feasibility Report	The key Contract deliverable
FOIA	Freedom of Information Act (2000)
GDPR	General Data Protection Regulations
HMG	Her Majesty's Government
IPR	intellectual property rights
KPI	Key Performance Indicator
M	Million
Minimum Threshold Scores	Means the minimum scores that Applicants must achieve against the Assessment Criteria to be considered for funding, as detailed at <b>Section 8.3 and Section 9.3</b>
MPAN	Meter Point Administration Number

## NZIP – Automatic Asset Registration

NZIP	Net Zero Innovation Portfolio
Phase 1 Project Cost Breakdown Form ('the')	Means the 'BEIS Project cost breakdown form' provided as an Electronic Appendix to this Competition pack, which Applicants must complete as part of their Application.
Project Cost Breakdown Form – Future Phases ('the')	Means the Project Cost Breakdown Form that Projects must complete as part of the Phase 1 Competition setting out forecast costs and overheads for Phases 2 and 3.
RTO	Means Research and Technology Organisation. RTOs are (mainly) private non-profit research performers or commercial research enterprises providing R&D services, both to government and business <sup>1</sup> .
SBRI	Small Business Research Initiative
SME	Small and medium enterprise
Solution(s)	Applicants innovative proposals for which the Competition seeks to award SBRI funding.
T&C	terms and conditions
TRL	Technology Readiness Level
UK	United Kingdom
VAT	Value-Added Tax

Please note that references to the "Department" or "Authority" 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 (BEIS).

**Any reference to "Programme" and/or "Competition" is a reference to the Net Zero Innovation Portfolio: Automatic Asset Registration (AAR) Programme, run by the Department for Business Energy and Industrial Strategy (BEIS).**

Any reference to "portfolio" is a reference to the Net Zero Innovation Portfolio (NZIP).

<sup>1</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/451265/bis-15-321-research-and-innovation-organisations-in-the-UK-innovation-functions-and-policy-issues.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/451265/bis-15-321-research-and-innovation-organisations-in-the-UK-innovation-functions-and-policy-issues.pdf)

# Supporting Documents

The following documents support this Competition Guidance and are available within the application form.

Annex 1: Contract Terms and Conditions

Annex 2: Declarations

- Declaration 1: Statement of non-collusion
- Declaration 2: Form of Bid
- Declaration 3: Conflict of Interest
- Declaration 4: Code of Practice for Research
- Declaration 5: The UK General Data Protection Regulation Assurance Questionnaire for Contractors
- Declaration 6: Standard Selection Questionnaire

# Automatic Asset Registration Programme – Guidance for Applicants

The purpose of this Guidance is to give a comprehensive overview of the Net Zero Innovation Portfolio Programme (NZIP) Automatic Asset Registration Competition (the Competition) and associated procedures for participation in the Competition.

## 1. Competition Overview

### 1.1 Background

This Competition forms part of the up to [£65m Flexibility Innovation Programme](#) which, along with the up to [£68m Longer Duration Energy Storage Demonstration Competition](#), is one of ten key priority areas within the [BEIS £1bn Net Zero Innovation Portfolio](#).

The NZIP aims to “*accelerate the commercialisation of innovative low-carbon technologies, systems and processes in power, buildings and industry*” (Energy White Paper, 2020). It follows on from the BEIS [Energy Innovation Programme](#), which is delivering significant advances in low carbon technologies.

### 1.2 Competition Context

#### The need for a digitalised energy system

Successfully achieving net zero will require a shift away from fossil fuels to clean energy and therefore relies on the deployment of millions of low carbon technologies, including solar panels, battery storage, heat pumps and electric vehicles. All of these technologies will need to be seamlessly integrated onto our electricity networks and variable generation from solar and wind will need to be balanced, second-by-second, with demand from consumers.

In order to achieve this balancing, the system will need to understand and react to increasingly -more-complex energy flows. This, in turn, will rely on the digitalised exchange of data to facilitate a system which can **automate, plan and anticipate processes and energy flows far better than it can at present**.

In July 2021 the government, jointly with Ofgem, published a new [Smart Systems and Flexibility Plan](#)<sup>2</sup> and the [Energy Digitalisation Strategy](#)<sup>3</sup>, outlining how they will deliver the flexibility and innovation needed for a net zero system. The Plan and Strategy set out actions to facilitate flexibility from consumers, remove barriers to flexibility on the grid, reform markets to reward flexibility and digitalise the system, through both policy and innovation.

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<sup>2</sup> <https://www.gov.uk/government/publications/transitioning-to-a-net-zero-energy-system-smart-systems-and-flexibility-plan-2021>

<sup>3</sup> <https://www.gov.uk/government/publications/digitalising-our-energy-system-for-net-zero-strategy-and-action-plan>

As part of the Energy Digitalisation Strategy, the government included work on the Coordinated Asset Registration strategy for smaller scale assets (such as solar panels, electric vehicles, battery storage and heat pumps, which typically require registration by an installer). The Strategy outlined how government will work with industry to streamline the registration process for small-scale energy assets to improve data collection and therefore improve the visibility of these assets on the system. Stakeholder engagement carried out as part of this Strategy identified four key barriers to small-scale asset registration:

### Small-scale asset registration – current challenges

- Those responsible are unaware of their responsibilities (e.g., consumers and installers);
- The registration process is complex, with multiple forms requiring varying information being needed by multiple organisations;
- There are very few incentives or penalties associated with asset registration, and;
- Where assets are notified, the data is collected and held by various systems that do not speak to each other, resulting in incomplete datasets.

### Why the need for innovation?

Whilst registration of assets with network companies is a legal requirement, work carried out through the Coordinated Asset Registration Strategy revealed that **only a small proportion of new energy assets are currently being registered and hence visible to the network companies**. Since all the benefits of asset registration accrue to the network companies instead of the installers, creating new policy levers to nudge and enforce compliance amongst installers would not only be difficult and complicated, but still likely result in a proportion of installations going unregistered or poorly registered.

By contrast, an innovative technical solution – Automatic Asset Registration – could remove the element of incentive entirely and **address all four barriers at once by introducing a digitalised, automatic, automated, standardised and secure data exchange process**.

The automatic registration of energy assets with a Central Asset Register, capable of collecting and sharing energy asset data, is a key component of a decarbonised energy system and a significant step in achieving a secure, resilient digitalised system. Visibility of energy assets on the network will simultaneously benefit multiple stakeholders:

- **Network companies and system operators** require access to energy asset data to support decisions on strategic investment that affect when and where network infrastructure is built, live network operations, and security of supply.
- Assets are required to be registered with other relevant authorities such as **building regulations, local authorities and certification schemes**. Automatic registration of energy assets with a Central Asset Register will reduce the duplication of work created by registering with each stakeholder separately.
- **Government and the Regulator** will also benefit from the improved quality and completeness of datasets through Automatic Asset Registration, better informing policy decisions.
- **Consumer and energy asset owners** will have peace of mind that their low voltage asset is registered correctly.

- **Emergency services, such as fire and rescue services**, can have open access to the Central Asset Register to identify the location of domestic batteries or EVs, helping to better manage potential fire risk.
- **Innovators** will be empowered to develop new and exciting products and business models, helping to unleash the benefits of a digitalised, decarbonised energy system.

Automatic Asset Registration will fundamentally deliver benefits to all those within the energy system who interact with it. This includes:

- Simplifying the registration process for installers
- Reducing the collection of duplicate data and;
- Creating a more reliable dataset.

By creating a secure, coordinated, and intuitive asset registration process, we will be able to collect comprehensive and accurate data on assets, improving data quality and visibility that will enable data to be moved easily between different energy sector players. From weekly operational planning, through to longer term network design, key actors from across the energy system will have improved visibility around how much potential flexibility there might be in any given geography, empowering more informed and timely decisions and supporting system stability and flexibility.

## 1.3 The Automatic Asset Registration Sub-Programme - Overview

The Automatic Asset Registration (AAR) Sub-programme is a **£2m funding opportunity to develop innovative Solutions that will facilitate digitalisation of the energy system**. AAR will fund the development of innovative Solutions to replace manual registration of small-scale demand, generation and storage assets (such as heat pumps, EV charge points, solar PV and in-home/SME batteries) as well as the development of a Central Asset Register (“CAR”), capable of collecting and sharing energy asset data, once successfully registered.

AAR is specifically designed to help address the need for a digitised energy system, as set out at Section 1.2. It will be delivered through a Small Business Research Initiative (“SBRI”), offering funding support to deliver a joined-up Solution to manual registration of small-scale energy assets.

The Sub-programme will consist of 3 interlinked phases:

- Phase 1 – Feasibility
- Phase 2 – Solution Development
- Phase 3 – Pilot testing / demonstration

Each phase will comprise 2 workstreams:

- Workstream 1 – Development of an Automatic Registration Solution
- Workstream 2 – Development of a Central Asset Register Solution

**Successful suppliers will be expected to demonstrate capability to deliver both workstreams.** A breakdown of the competition structure is given in Figure 1 below.

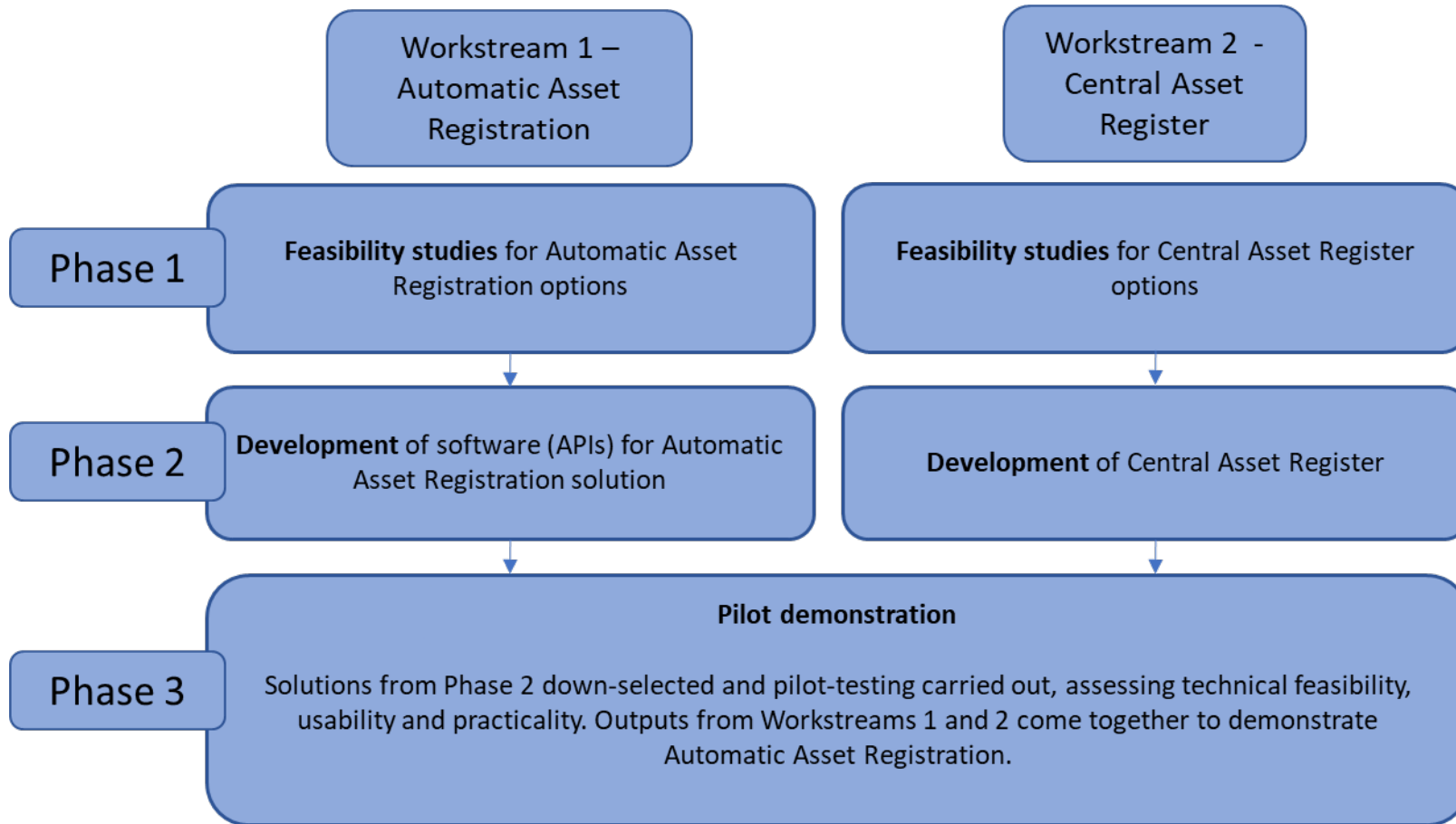


Figure 1 – Overview of the Automatic Asset Registration Sub-programme

## 2. Competition Aims, Objectives, and Scope

### 2.1 Competition Aims

The aim of this SBRI is to provide funding to help develop an innovative Solution that can replace manual registration of small-scale<sup>4</sup> demand, generation and storage energy assets and demonstrate the data infrastructure necessary to communicate energy asset data once the asset is successfully registered.

### 2.2 Competition Objectives

Whilst the detailed technical deliverables will vary depending on the Solutions proposed by each project, all will be expected to contribute to the following Competition objectives:

- Develop a Solution to asset registration that ensures small-scale, low-carbon energy assets are automatically registered with the relevant authorities upon installation.
- Develop a Central Asset Register/Portal Solution, capable of collecting and managing consumer consent and securely communicating energy asset data from registered energy assets through machine-readable interfaces.
- Demonstrate how Automatic Asset Registration technology and a Central Asset Register can enable real-time exchange of dynamic energy asset data through machine-readable interfaces.
- Provide evidence to inform future policy and regulation with respect to collecting, sharing and using energy asset data.

### 2.3 Competition Scope

Assets in scope of this Competition include all small-scale assets<sup>5</sup> that are typically required to be registered with the networks and other relevant bodies, by an installer. Examples include, but are not limited to; solar photovoltaic (PV), heat pumps, electric vehicle charge points and home battery storage.

For **‘connect and notify’ connections** (i.e. Power Generating Modules with a capacity of 16A per phase or less, connected at low voltage, and load up to 60A) the Solution developed should **automatically register the asset to the Central Asset Register upon installation.**

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<sup>4</sup> Assets in domestic and smaller non-domestic buildings, with a maximum capacity of 1MW, which typically require registration by an installer



For **‘apply to connect’ connections** (Power Generating Modules with a capacity of more than 16A per phase but less than 1MW and load above 60A) the Solution should **automatically confirm registration of the asset once approval has been received and the asset is installed and switched on.**

In order to successfully register small-scale energy assets with the networks and satisfy existing registration requirements, in-scope Solutions must be able to securely exchange ‘static’ asset data. Static asset data includes, but is not limited to:

- Asset type
- Manufacturer and model
- Date of installation
- Postcode location
- Rated capacity
- Rated export/import
- Serial number
- Meter Point Administration Number (‘MPAN’)

As per the third objective above, BEIS is looking to fund projects capable of demonstrating how their Solutions for Workstream 1 and 2 **also enable the secure exchange of ‘dynamic’ energy asset data, for example:**

- State of charge/discharge
- Voltage
- Current
- Mode or state
- Time & date

Solutions developed by Applicants as part of the Competition must consider linkages to existing industry datasets, processes and registers, where relevant. For example, the [ENA Type Test Register<sup>5</sup>](#), the [Embedded Capacity Register<sup>6,7</sup>](#), the existing [ENA work on the operational visibility of larger assets](#), and data sets collected through existing Ofgem delivery schemes and accreditation processes.

### Out of Scope

- Technology Solutions that are already widely deployed and/or the demonstration and trialling of technology Solutions which have previously received public funding and are being re-purposed without a significant plan for improvement and further development.
- Solutions that are not applicable to the UK energy system

More detail on Scope can be found in **Section 7.1: Competition Eligibility Criteria**

<sup>5</sup> [ENA Type Test Register User Guide](#)

<sup>6</sup> [Embedded Capacity Register - Distribution Connection and Use of System Agreement](#)

<sup>7</sup> [Embedded Capacity Register – UKPN, SPEN, SSEN, Western Power Distribution, Electricity Northwest, Northern Power Grid](#)

## 3. Delivery Approach

The diagrams below summarise key dates, activities and outputs across the 3 Phases. Further detail is set out at Sections 4 and 5. Dates are indicative and will be agreed between successful Applicants and BEIS prior to Contract award.

### 3.1 – Phase 1 – Feasibility Studies – *July – Dec 2022*



#### Phase 1 – Feasibility Studies - Summary

- 2 Projects funded
- Detailed flow diagrams required
- Feasibility studies to consider cyber security, data privacy, data collection and data access requirements and assess possible business models for the deployment of the Solution at scale
- Further competition to progress to Phase 2

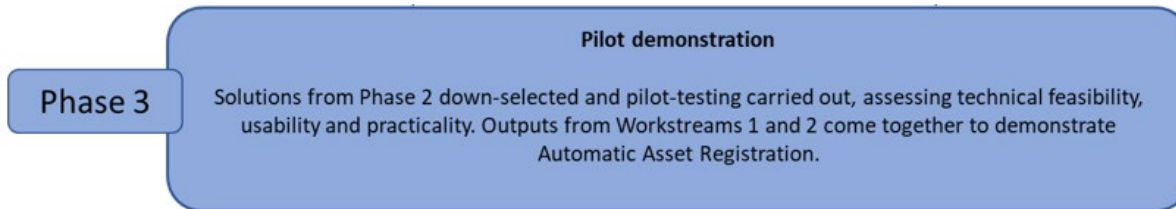
### 3.2 - Phase 2 – Technology Development – *Jan – Dec 2023*



#### Phase 2 – Technology Development - Summary

- Intend to fund 1 Project - subject to evaluation
- Projects required to develop:
  - The software necessary to automatically register small-scale energy assets and facilitate the exchange of energy asset data (dynamic and static)
  - A fully working Central Asset Register capable of securely collecting and sharing this energy asset data from registered assets with interested
- Stage Gate Review to progress to Phase 3

### 3.3 – Phase 3 – Pilot testing – *Jan – June 2024*



#### **Phase 3 – Pilot testing - Summary**

- 1 Project funded – subject to evaluation
- Projects required to demonstrate end-to-end automatic registration of small-scale energy assets with a fully working Central Asset Register, and the exchange of both dynamic and static energy asset data.
- Extensive user testing to refine software
- Pilot testing in an environment indicative of the real world to demonstrate Solution resilience and scalability

## 4. Competition Requirements and Deliverables

Section 4 sets out the detailed delivery requirements – and linked Deliverables for the three Phases around which the AAR Sub-Programme is structured.

### 4.1 Phase 1 – Feasibility Studies

#### Overview

At Phase 1, Projects will be expected to deliver two feasibility studies. Outputs of these studies will be reviewed by BEIS Monitoring Officers as part of a further Competition stage – **see Section 9** - and successful Applicants invited to further develop their Solutions at Phase 2. Projects will also be required to satisfy a formal Stage Gate Review process to progress to Phase 2. The Feasibility Studies will act as the Phase 1 Project Closure Report.

**Table 4.1 – Feasibility Studies – Detailed Requirements and linked Deliverables**

Sub-Category	Requirements and linked <i>Deliverables</i>
<b>Workstream 1 Automatic Asset Registration Options</b>	<p>The Workstream 1 Feasibility Study should contain, as a minimum:</p> <ul style="list-style-type: none"> <li>• <b><u>A detailed description of the proposed Solution</u></b>, including all the software components (and hardware, if relevant).</li> <li>• <b><u>A detailed platform architectural (flow) diagram(s)</u></b> for the proposed Solution that demonstrates how data is moving and what will happen to it at each stage, including detailed technical data and associated opportunities and risks to development.</li> </ul>

Sub-Category	Requirements and linked <u>Deliverables</u>
	<ul style="list-style-type: none"> <li>• <b><u>A route to market assessment</u></b>, describing the key steps required to deploy and operate the proposed Solution at scale, including barriers, risks and a proposed business/commercial model. This should include detail on future funding models.</li> <li>• <b><u>A technical, legal, cyber-security, data privacy and data access requirements assessment</u></b> – This will assess all relevant requirements necessary to develop and deploy the Solution at scale in the UK energy system, including detailed plans to embed these requirements during the development of the proposed Solution.</li> <li>• <b><u>Detailed evidence of stakeholder engagement</u></b> - To determine opportunities and use-cases for the proposed Solution.</li> <li>• <b><u>A costed plan for the development of the proposed Solution in Phase 2.</u></b> Projects will be asked to populate an <b><u>updated version of the Project Cost Breakdown Form ‘Project Cost Breakdown Form – Future Phases.</u></b> with this data for Assessment at the Phase 2 Competition stage – see <b>Section 9.</b></li> </ul> <p>Within its ‘Conclusions’ section, the Feasibility Report should comment as to the deemed probability of success for the proposed Solution.</p> <p>Projects shall also provide a version of the feasibility report suitable for publication.</p>
<p><b>Workstream 2 Central Asset Register</b></p>	<p><b>The Feasibility Study should contain, as a minimum:</b></p> <ul style="list-style-type: none"> <li>• <b><u>A detailed description of the proposed Solution,</u></b> including all the software components (and hardware, where relevant).</li> <li>• <b><u>A detailed platform architectural (flow) diagram(s)</u></b> for the proposed Central Asset Register, including detailed technical data and associated opportunities and risks to development.</li> </ul>

Sub-Category	Requirements and linked <u>Deliverables</u>
	<ul style="list-style-type: none"> <li>• <b><u>A route to market assessment</u></b>, describing the key steps to deploying and operating a Central Asset Register at scale, including barriers, risks and potential future business/funding models.</li> <li>• <b><u>A technical, legal, cyber-security, data privacy and data access requirements assessment</u></b> – This will assess all relevant requirements necessary to development and deploy a Central Asset Register at scale, taking into account consumer consent.</li> <li>• <b><u>Detailed evidence of stakeholder engagement</u></b> - To determine opportunities and use-cases for the development and deployment of the Central Asset Register.</li> <li>• <b><u>An assessment of how the Solution will facilitate the collection, sharing and management of data in accordance with Ofgem’s Presumed Open principle</u></b>. As part of this feasibility study, all Projects should consider how their proposed Solution will appropriately redact, anonymise and, where appropriate, encrypt asset data to protect asset owners and energy consumers, such as domestic generation asset owners.</li> <li>• <b><u>An assessment of how the Solution will dovetail with existing industry datasets and processes</u></b>. For example, the <a href="#">ENA Type Test Register</a>, the <a href="#">Embedded Capacity Register</a> and the existing <a href="#">ENA work on the operational visibility of larger assets</a>. Projects will also need to engage with Ofgem to understand how the data they hold through existing delivery schemes and accreditation processes could be used for the proposed Solution.</li> <li>• <b><u>A costed development plan for the Central Asset Register, including development of the Solution in Phase 2</u></b>. – Projects will be asked to populate an updated version of <b><u>the Project Cost Breakdown Form – ‘Project Cost Breakdown Form – Future Phases.’</u></b> with this data for Assessment at the Phase 2 Competition stage – see <b>Section 9</b>.</li> </ul>
Workstreams 1 and 2 -	Projects will be required to:

Sub-Category	Requirements and linked <u>Deliverables</u>
<p><b>Overarching activities</b></p>	<ul style="list-style-type: none"> <li>• Continually reflect on lessons learnt during Phase 1 – Feasibility Study - And describe how they propose to address the risks, challenges and uncertainties associated with the proposed Solution.</li> <li>• Maintain a <b><u>Feasibility Study Assumptions log</u></b> of assumptions made to document appropriate explanations of the analysis undertaken and raw data used. This should include, for example:               <ul style="list-style-type: none"> <li>○ assumptions concerning the role of government, DNOs and consumers and</li> <li>○ assumptions around regulatory or policy developments required to deploy the proposed Solutions at scale.</li> </ul> </li> <li>• Have had detailed <b>discussions with at least 3 DNOs</b> during this Phase and have engaged widely with relevant vendors, industry, the regulator, asset manufacturers, installers and owners. Applicants should consider how their approach to stakeholder engagement supports KPI 4 in Table 12.2, Section 12: Reporting, KPIs and Knowledge Sharing.</li> <li>• For both Workstreams 1 and 2, <b>Projects must consider scalability throughout all elements of the feasibility study</b>, considering how their Solution will be future-proof to cope with the significant increase in low-voltage connected low carbon technologies and can replace all existing manual registration processes for small-scale energy assets.</li> </ul>
<p><b>Knowledge dissemination</b></p>	<p><b>To be eligible for Phase 2, Projects will be required to:</b></p> <ul style="list-style-type: none"> <li>• Contribute to a <b>minimum</b> of one knowledge dissemination activity during Phase 1. In addition to this, projects will be expected to attend at least one Flexibility Innovation Programme showcasing event during Phase 2, these are anticipated to be half a day and be in person and/or virtual (COVID dependent).</li> <li>• Produce short a <b><u>Knowledge Dissemination Evaluation Report</u></b> – To include lessons learnt and an identification of opportunities for further knowledge dissemination in Phase 2.</li> </ul>

## 4.2 Phase 2 – Development of Solutions

### Overview

Successful Projects at Phase 1 will be asked to develop a fully working end-to-end Solution for automatically registering small-scale energy assets and an accompanying Central Asset Register. As per the Competition scope in **Section 2.3**, this Solution should be appropriate for all domestic and light business assets up to 1MW, which typically require registration with the networks.

**Please note**, a bespoke front end is not required. Projects are encouraged to consider using open-source data analytics and visualisation software, where appropriate. More detail can be found in Section 7 Eligibility for Funding, under Innovation.

**Table 4.2 – Development of Solutions – Detailed Requirements and linked Deliverables**

Sub-Category	Requirements and linked <i>Deliverables</i>
<b>Solution Development</b>	<p><b>Projects will be required to deliver:</b></p> <ul style="list-style-type: none"> <li>• <b><u>A fully working Solution to facilitate automatic registration of energy assets up to 1MW</u></b> - As outlined in <b>Section 2.3</b>. The solution must enable the collection and exchange of both ‘static’ and ‘dynamic’ asset data, as outlined in Section 2.3. All software developed will need to be published under an Open-Source license, see Section 13 Intellectual Property.</li> <li>• <b><u>A fully working Central Asset Register</u></b> – This will be capable of automatically collecting and securely communicating both static and dynamic energy asset data with all relevant stakeholders, as identified in the feasibility stage, as well as managing consumer consent. All software developed will need to be published under an Open-Source license.</li> <li>• Contribution to knowledge dissemination activities</li> <li>• <b><u>An evidence-based detailed engineering design for BEIS</u></b> – This will detail the design and development of the end-to-end system for automatic asset registration, key successes and lessons learnt.</li> </ul>



## NZIP – Automatic Asset Registration

Sub-Category	Requirements and linked <u>Deliverables</u>
	<ul style="list-style-type: none"><li data-bbox="421 252 1928 325">• <b><u>A detailed Project Plan for the pilot testing (Phase 3)</u></b> – This will include, as a minimum, key success criteria to be tested, proposals for the testing facility and an updated project plan and cost-breakdown.</li><li data-bbox="421 379 1928 453">• Evidence of how the software developed could enable the exchange of live, dynamic asset data, for the purpose of securing demand-side flexibility.</li><li data-bbox="421 507 1989 619">• <b><u>An updated business plan and proposed operating model</u></b> – This will include an updated assessment of the steps needed to ensure deployment of the Solution after SBRI funding ends (commercialisation pathway).</li></ul>

## 4.3 Phase 3 – Pilot Testing

### Overview

Projects that successfully progress to Phase 3 will pilot test their end-to-end Solution for Automatic Asset Registration and the Central Asset Register in an environment indicative of the real world, in line with the Competition overview in Section 1. This is expected to last for a period of 6 months.

**Table 4.3 – Pilot Testing – Detailed Requirements and linked Deliverables**

Sub-Category	Requirements and linked <i>Deliverables</i>
<b>Pilot Testing</b>	<p><b>Projects will be required to deliver:</b></p> <ul style="list-style-type: none"> <li>• A testing facility, and associated maintenance, for the duration of Phase 3.</li> <li>• Pilot-testing, conducted over a period of 6 months, working with energy consumers, energy suppliers, installers, DNOs and other relevant bodies to demonstrate use-cases, carry out stress testing, demonstrate scalability and measure the Solution against key success criteria identified in Phase 2.</li> <li>• <b><u>An updated fully working Solution for automatically registering small-scale energy assets and collecting and communicating static and dynamic energy asset data</u></b> (per section 2.3).</li> <li>• <b><u>An updated Central Asset Register, directly informed by learnings from the pilot testing.</u></b></li> <li>• <b><u>An evidence-based final report for BEIS,</u></b> - This will consolidate findings from across Phase 1, 2 and 3 and will include:             <ul style="list-style-type: none"> <li>○ An updated section detailing the design and operation of the Solution developed, including updates made during Phase 3</li> <li>○ A final publishable commercialisation pathway/route for deployment and next steps</li> </ul> </li> </ul>

## 4.4 Collaboration and Information Sharing

### Overview

Due to the interlinking nature of the different contracts within the Flexibility Innovation Programme, the successful Applicants shall work collaboratively with other anticipated Flexibility Innovation Programme activities and projects to ensure consistency between work scope. The successful Applicants will be required to:

- take responsibility for this engagement with relevant projects;
- incorporate information from the other projects into this work as these progress;
- work with any other potential individual or organisation appointed by BEIS to support the delivery of the Flexibility Innovation Programme; and
- work collaboratively to coordinate between the laboratory and real-world demonstration phases, including exchange of necessary data/information to facilitate testing to deliver contract requirements.

Successful Applicants may work closely with organisations appointed to deliver related and anticipated sub-programmes and projects. In some circumstances successful Applicants may be required to sign collaboration agreements covering logistics, responsibilities and intellectual property with such organisations. An example of the detailed collaboration agreement will be shared with the successful Applicants. Key stakeholders which successful Applicants may be required to enter into a collaboration agreement with may include:

- BEIS;
- Representatives appointed by BEIS;
- the organisation(s) selected to carry out pilot testing at Phase 3; and
- DNOs and potentially other stakeholders actively engaged with at Phase 1.

## 5. Competition Timetable, Application and Assessment Process

The Competition funding will be awarded using the Small Business Research Initiative (SBRI) approach<sup>8</sup>. SBRI is a well-established pre-commercial procurement process that enables the development of innovative products and services in response to specific challenges faced by government departments and public sector bodies. Successful business partners receive the finance to develop their innovative ideas, generating new business opportunities and routes to market.

### 5.1 Competition Timetable

The Competition is expected to run from April 2022 until June 2024. Indicative key dates applicable to the Competition are shown in Table 5.1 below. Please note BEIS reserves the right to vary these dates. All updates and registration links will be posted on the [Flexibility Innovation Programme web-page](#).

**Table 5.1: Competition timetable**

Stage	Activity	Date/Deadline
<b>Phase 1</b>		
<b>Launch</b>	Phase 1 Competition opens to Applicants:	5 <sup>th</sup> April 2022
	Briefing events for potential Applicants:	<b>14:00 21<sup>st</sup> April 2022</b>
	Submit Applicant clarification questions via e-mail <sup>9</sup>	<b>28<sup>th</sup> April 2022</b>
	Publication of Applicant clarification questions and answers	5 <sup>th</sup> May 2022
<b>Apply</b>	Submit registration online <sup>10</sup>	<b>14:00 11<sup>th</sup> May 2022</b>
	Submit proposal online:	<b>14:00 20<sup>th</sup> May 2022</b>
<b>Assess</b>	Eligibility check, technical assessment and moderation:	June 2022
	Notification of award:	June 2022

<sup>8</sup> <https://www.gov.uk/government/collections/sbri-the-small-business-research-initiative>

<sup>9</sup> Applicants should use 'SMRI - SBRI Competition' as the header) to flexibilityinnovation-dsr@beis.gov.uk:

<sup>10</sup> Applicants are encouraged to register by this date, though Applicants will still be able to register after this date.

<b>Award</b>	Award Agreement / Contract signature	June 2022
	Phase 1 Competition Start	June 2022
	Phase 1 Competition End	December 2022
<b>Future Phases – Restricted to successful Phase 1 Applicants</b>		
<b>Launch</b>	Publication of Future Phases Competition document pack	December 2022
	Submit Applicant clarification questions via e-mail <sup>11</sup>	<b>TBC</b>
	Publication of Applicant clarification questions and answers	TBC
<b>Apply</b>	Submit proposal online – including Phase 1 Feasibility Studies	January 2023
<b>Assess</b>	Eligibility check, technical assessment and moderation:	January 2023
	Notification of award	January 2023
<b>Award</b>	Award Agreement / Contract signature	January 2023
	Future Phase Competition Start	January 2024
	Future Phase Competition End	June 2024

## 5.2 Phase 1 Application Process

The Phase 1 Application process is as follows.

### Stage 1 – Accessing application documentation

- Applicants will be asked to complete an online Registration Form, following which a unique password will be generated. This will be required to access and complete the online Competition application form. The [online Registration Form is available here](#). Applicants are encouraged to complete the Registration Form by **14:00 on 11<sup>th</sup> May 2022**.
- Within a week of receipt of the Registration Form, BEIS will issue a confirmation e-mail to the Applicant, with a password to log into the online application system and submit a subsequent application.

<sup>11</sup> Applicants should use 'SMRI - SBRI Competition' as the header) to flexibilityinnovation-dsr@beis.gov.uk:

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- Potential Applicants can also find further information at a supplier information event due to take place on **April 21<sup>st</sup> 2022**. Documentation from the event will be published on the [Competition website](#).

### Stage 2 – Completion of online application including clarification stage

- On receipt of the unique password, Applicants can then complete the online application form and submit supporting information outlining their proposal.
- To inform their application, Applicants are able to submit clarification questions to [flexibilityinnovation-aar@beis.gov.uk](mailto:flexibilityinnovation-aar@beis.gov.uk). Applicants should state in the e-mail header that the clarification question(s) relate to the '**AAR SBRI Competition**'. The deadline for submitting questions is **28<sup>th</sup> April 2022**. **Questions submitted after this deadline may not be answered.**
- BEIS will publish replies to any questions which, in its' judgement, are of material significance through an online anonymised FAQ sheet, on or before **5<sup>th</sup> May 2022**.
- All Applicants should consider the answers to the clarification questions and this Competition Guidance when preparing their own bids. BEIS will evaluate bids on the assumption that they have done so.
- Applicants should ensure they have read this Competition Guidance document before starting to complete the application form.
- Applicants can save their application at any time by clicking "Save and Continue Later." You will then be e-mailed a link which you can use to return to your application and complete it, logging in with the same password.
- Any queries with the online application should be e-mailed to [flexibilityinnovation-aar@beis.gov.uk](mailto:flexibilityinnovation-aar@beis.gov.uk). Applicants should state in the e-mail header that the clarification question(s) relate to the '**AAR SBRI Competition**'.
- Alongside the offline application form, you will find offline examples of the forms and declarations you need to complete and return with your application (see Submission Content below). These examples are also for reference only. In your online application, you will be provided with links to download these forms and declarations. You then need to sign them (please note you cannot do this directly in the application platform) and re-upload them to your application.

### Stage 3 – Submission of Proposal

- The full proposal including uploads of all required supporting documents (see 'Submission Content' bullet below) must be submitted online by **14:00 20<sup>th</sup> May 2022**. Please note that each supporting document cannot exceed the size limit as set out within the application form.
- Any applications or supporting documentation received after the application deadline will not be considered.

**Submission Content:** Each proposal must include the following:

- Completed application form (online) including responses to relevant Assessment Criteria as set out at Section 6 to this document.
- The following signed declaration forms. Applicants must download through the online application form, sign, and re-upload to their application:
  - Declaration 1: Statement of non-collusion
  - Declaration 2: Form of Bid – agreeing to the terms of the Competition application process
  - Declaration 3: Conflict of Interest
  - Declaration 4: Code of Practice for Research
  - Declaration 5: The UK General Data Protection Regulation Assurance Questionnaire for Contractors
  - Declaration 6: Standard Selection Questionnaire
  - Completed Phase 1 Project Cost Breakdown Form, **[downloadable through the online application form]**.
- Completed Phase 1 Project plan, e.g., detailed project Gantt chart and description of work packages, **[to be attached by applicant to their online application]**.
- Outline Phase 2 and Phase 3 project plans, e.g. high-level project Gantt chart and summary overview of work packages, [to be attached by applicant to their online application].
- Any relevant financial data as set out at **Section 10.2** including letters of support from Project partners.
- Completed Additional Partner Information Form, if you have more than 3 partners in your Project proposal.

You should answer all questions on the application form in full. Incomplete applications will likely be rejected, although BEIS may, at its discretion, request clarification or additional data before making a final decision.

**Submission Costs:** You will not be entitled to claim from BEIS any costs or expenses that you incur in preparing your bid, whether or not your proposal is successful.

**Consortium Bids:** Bids may be submitted by project teams (consortia). Only one application should be submitted for each bid, but all consortium partners are required to sign the completed declaration form for their bid (Form of Tender).

If a consortium is not proposing to form a separate legal entity, the project partners will need to complete a Consortium Agreement and funding will not be provided by BEIS until a signed consortium agreement has been finalised between all the members of the project consortium. A satisfactory consortium agreement must be signed within one (1) month of SBRI Funding Agreement signature. Please note that BEIS reserves the right to require a successful consortium to form a single legal entity in accordance with Regulation 19 of

the Public Contracts Regulations 2015 (as amended by the Public Procurement (Amendment etc.) (EU Exit) Regulations 2020).

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

**Multiple Bids.** Applicants may be part of multiple consortia, but organisations cannot be the lead applicant for more than one bid. Any Applicant involved in multiple bids will have to demonstrate ability to deliver multiple projects simultaneously, noting the requirements in **Section 4**. For the avoidance of doubt no organisation should claim SBRI funding for duplicate activities across more than one Project.

**Tender Validity.** Tenders shall be valid for a minimum of 90 calendar days from the submission deadline **20<sup>th</sup> May 2022**.

**Information Sharing.** BEIS may share information from applications with other UK Government departments, UKRI or with Ofgem for evaluation of the programme against broader decarbonisation efforts.

## 5.3 Phase 1 Assessment

Applications will initially be assessed against the Eligibility Criteria in **Section 7** below.

**Applications which fail to satisfy the Eligibility Criteria will not be assessed further, so it is essential to ensure that your project meets these criteria before you submit your application. Ineligible applications will receive brief feedback on the reason for their ineligibility.** The assessment processes are described in **Section 6**.

## 5.4 Phase 1 Contract Award

The target date for signature of Competition contract agreements is June 2022. Please note that BEIS reserves its right to not award any Contract agreements under this Competition.

**Contract terms:** For Phases 1, 2 and 3, the Contract Agreements will be based on the BEIS pre-commercial procurement contract. The terms and conditions for this agreement are provided in Annex 1. **These terms and conditions are final and non-negotiable: by applying to the Competition, you are agreeing to these terms and conditions.**

For this contract (Phase 1) clause **18 (7)** of the terms and conditions stipulates that the successful bidder's liability is limited to twice the contract value; for Phases 2 and 3 this will be increased to £2m or twice the contract value, whichever is greater.

Whilst no changes to the Contract will be permitted, there will be an opportunity for successful Applicants, prior to contracts being signed, to discuss the Contract at a meeting with official(s) from BEIS. The BEIS official(s) will explain the contractual terms and conditions and respond



to any queries which the Applicant may have at this stage. It is crucial that all Applicants review the terms and conditions prior to the submission of their application and ask any questions prior to submitting the bid. BEIS officials will also discuss any risks raised through the assessment process and finalise the formal project milestones with the project team before issue of the Contract.

**Consortium bids:** For consortium bids, the lead company (project co-ordinator) will be the recipient of the Contract (the supplier) and will be responsible for managing payment to the other project partners. If a consortium is not proposing to form a separate corporate entity, the project partners will need to complete a Consortium Agreement. Funding will not be provided by BEIS until a signed Consortium Agreement has been finalised between all of its members.

Consortium members/Subcontractors may be part of multiple bids; however, it is the duty of the lead organisation to manage any arrangements with regards to conflicts of interest with sub-contractors/consortium members where those sub-contractors/consortium members are part of other bids.

The lead organisation will act as the primary point of contact with BEIS and will be responsible for monitoring and managing delivery of all Requirements and Deliverables as set out at Section 4. For the avoidance of doubt this will include active management and resolution of issues arising with the performance of one or more Consortium members or Subcontractors which might adversely impact on delivery of stated Requirements and Deliverables.

## 5.5 Future Phase Application Process

The Future Phase Application process is expected to be issued to the successful Phase 1 Applicants by **December 2022**. The successful Applicants will be assessed based on their completed Feasibility Studies and additional information as discussed at Section 9.

## 6. Contract Size and Restrictions on Funding

### 6.1 Competition budget and availability

#### Overview

The total budget available for the Competition is up to **£2,000,000 and £1,850,000 per Project (excluding VAT)**<sup>12</sup>, although BEIS may, at its discretion, choose not to make an award, increase the available budget, or allocate an award that is less than the total budget depending on the quality of applications.

When bidding, all costs should be provided excluding VAT, though where irrecoverable VAT applies, bidders should specify the amount.

Should further budget become available, BEIS may, at its discretion, choose to award funding to additional projects in order of total scores achieved.

#### **Deadline for payments**

All project activities agreed as part of the project plan, including reporting and payments, need to be completed by the **30<sup>th</sup> June 2024**.

#### **Phase 1 – total funding of £300,000**

A maximum of **£150,000 per Project** has been allocated for the feasibility studies. We anticipate funding two (2) Projects, each of which will need to carry out feasibility studies for Workstream 1 and Workstream 2, respectively.

#### **Phase 2 – total funding of £1,200,000**

A maximum of **£1,200,000** has been allocated for the Project that was successful at Phase 1 (the Successful Project) to develop the technology Solution for Workstreams 1 and 2.

#### **Phase 3 – total funding of £500,000**

A maximum of **£500,000** has been allocated with the funding used to demonstrate an end-to-end Solution for automatic asset registration in relation to the Successful Project, with the outputs from Workstreams 1 and 2 demonstrated together.

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<sup>12</sup> SBRI funding is within the scope of VAT, so you can charge output VAT on top of your submitted costs (maximum £1,850,000). If you incur non-recoverable input VAT costs, you can pass this on to BEIS, but these non-recoverable VAT costs will be included within the maximum £1,850,000 cost. BEIS cannot offer tax planning advice and Applicants should seek their own advice on tax status and recoverability.

**More detail on the funding available per Project is given below in section 7.1 under Contract Size.**

### **IMPORTANT INFORMATION - No Reliance**

Nothing in this funding call requires BEIS to award any applicant a contract of any particular amount or on any particular terms. Nor does BEIS commit to proceeding to Phase 2 or 3 whether or not the previous phases were successful. BEIS reserves the right not to award any contracts.

Applicants apply for funding in this Competition at their own risk and expense. BEIS will not, under any circumstances, be liable or nor make any contribution to the costs of participation, preparing proposals and taking any professional or specialist advice. Applicants accept the risk that they may not be awarded a contract. BEIS gives no guarantee or warranty as to the nature, or number of projects funded.

## **6.2 Eligible Costs**

Applicants are instructed that the project costs quoted must reflect actual costs at a 'fair market value' and for this Competition, suppliers' profit must not be included. Your application must have at least 50% of the contract value attributed directly and exclusively to research and development services.

Applicants are required to complete the **Phase 1 Project Cost Breakdown Form** (attached to the online application form) to provide the necessary cost information for the assessment process.

With the Competition requiring production of desktop reports, **BEIS anticipates that Applicants costs are likely to relate to people costs and linked overheads.** Project costs quoted must meet the requirements linked to eligible and ineligible costs as set out in Appendix 1. Further itemisation of costs and methods of calculation may be requested to support the application.

# 7. Eligibility for Funding

## 7.1 Competition Eligibility Criteria

To be eligible for funding, **proposed projects must meet all the following eligibility criteria.** These will be listed in the online application form as the Yes/No questions exemplified below.

### 1. Project Location

Over 50% of the project's activities (as measured by eligible project costs) must be conducted in the UK.

### 2. Relevance to the UK energy system

The Solutions we are procuring as part of the Competition are for the UK energy system. As such, the feasibility studies must cover the UK, and the Solutions developed at Phase 2 must be appropriate and implementable for the UK energy system. Therefore, the proposed Solutions must consider all of the relevant asset registers that currently capture data from energy system assets (as outlined in Section 2) and take into consideration existing registration processes, such as [‘connect and notify’](#) and [‘apply to connect’](#). In order to do so, successful Phase 1 Applicants should carry out stakeholder engagement and work with all relevant actors associated with the current registration process, including but not limited to; DNOs, installers, Ofgem and BEIS.

### 3. Innovation

This Competition will support the development of new, innovative Solutions to automatically register small-scale energy assets<sup>13</sup> in the UK. Some of the underlying technology and software components may already exist in other sectors and Solutions may utilise existing open-source software in order to avoid unnecessary costs. For example, Solutions may utilise existing data analytics and visualisation software to avoid costs involved with the development of bespoke front-ends. The Solution must, however, be innovative with respect to:

- its implementation in the UK energy system;
- its ability to facilitate automatic registration of energy assets and;
- Its ability to enable the secure digitalised exchange of energy asset data.

### 4. Technology Scope

A broad range of technology options for automatic asset registration will be considered as part of the Competition. The primary focus of this Competition is to develop an innovative Solution for asset registration and improve the collection and exchange of energy asset data, particularly ‘static’ asset data (such as asset type, maximum demand and rated capacity), but **projects will also need to demonstrate how their proposed Solution can also be used to facilitate the collection and sharing of real-time, dynamic asset data** such as current charge rate, current rate of power generation, voltage, state of charge/discharge etc. Similarly

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<sup>13</sup> Assets in domestic and smaller non-domestic buildings, with a maximum capacity of 1MW, which typically require registration by an installer

applications are encouraged from **Applicants capable of demonstrating how their data exchange Solution is scalable across different asset types and use-cases.**

Irrespective of the proposed Solution, all Applicants must demonstrate how they will contribute to a **secure** and **resilient** digital energy system by considering data privacy and cyber security in all stages of technology development. Moreover, Applicants should be able to demonstrate how their Solutions could facilitate the collection and sharing of data that is discoverable, searchable and understandable by system operators, installers and asset owners.

Applicants should also demonstrate how their Solution will facilitate the collection, sharing and management of data in accordance with [Ofgem's Presumed Open principle](#). As part of the feasibility studies, successful Applicants should consider how their proposed Solution will appropriately redact, anonymise and, where appropriate, encrypt asset data to protect asset owners and energy consumers, such as domestic generation asset owners.

## 1. Exclusions

BEIS cannot provide funding for:

- Technology Solutions that are already widely deployed and/or the demonstration and trialling of technology solutions which have previously received public funding and are being re-purposed without a significant plan for improvement and further development. At its judgement, BEIS will consider on a case-by-case basis those projects that have previously received public funding in order to ensure all allocated awards are additional.
- Retrospective work on projects or provide funding to projects which have already begun. The value of retrospective work may, however, be considered in the assessment process

## 2. Project Activity

This competition is unable to fund Experimental Research. To be eligible for funding, the project activity must, instead, be Experimental Development, as defined below.

**Experimental Development** means:

*“Acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills with the aim of developing new or improved products, processes or services. This may also include, for example, activities aiming at the conceptual definition, planning and documentation of new products, processes or services.*

*Experimental Development may comprise prototyping, demonstrating, piloting, testing and validation of new or improved products, processes or services in environments representative of real-life operating conditions where the primary objective is to make further technical improvements on products, processes or services that are not substantially set. This may include the development of a commercially usable prototype or pilot which is necessarily the final commercial product, and which is too expensive to produce for it to be used only for demonstration and validation purposes.*

*Experimental Development does not include routine or periodic changes made to existing products, production lines, manufacturing processes, services and other operations in progress, even if those changes may represent improvements”.*

### **3. Additionality**

Projects can only be funded where evidence can be provided that innovation would not be taken forwards (or would progress at a much slower rate) without public sector funding.

### **4. Terms and Conditions**

Applicants must agree to the published Terms and Conditions.

### **5. Contract size**

As detailed at **Section 6.1**, the total Contract Value is **£2,000,000 excluding VAT and the maximum Contract size per Project is £1,850,000** excluding VAT comprising:

- £150,000 for Phase 1 – to which the initial Competition relates and for which two Contract awards are anticipated and;
- £1,700,000 for Phases 2 (£1,200,000) and 3 (£500,000) – only one Contract award

**The SBRI award must cover 100% of Contract costs.**

### **6. Eligible project costs**

BEIS will fund 100% of eligible project costs through this competition, no match or in-kind funding is allowed.

SBRI is aimed at organisations working on research and development (R&D) of an innovative process, material, device, product, or service prior to commercialisation. Projects requesting SBRI funding for commercialisation activities are not eligible. Project teams are not permitted to include profit or contingency costs in the eligible project costs

Further information on eligible project costs is set out in **Appendix 1**.

### **7. Risk-Benefit Sharing**

The sharing of risks and benefits is an important aspect to the SBRI approach. Projects receive financial support and retain any intellectual property generated, with certain rights of use retained by BEIS (see **Section 13**). Project outputs are also expected to be shared widely and publicly and project teams are not permitted to include profit in the eligible project costs.

### **8. Applicants and project team composition**

All Phases of the Competition can be led by a single organisation or by a consortium.

For consortium bids, a single project application must be submitted by the lead project member (the project co-ordinator) on behalf of the consortium (please note that all consortium members will be required to sign the declaration form for their bid).

Special Purpose Vehicles are permitted to lead consortia only if they are constituted as legal entities.

Projects can be led by a private organisation (SMEs, or large industrial companies and consultancies), universities or other non-commercial organisations (academic, research or public sector organisations).

Applicants based in Northern Ireland, or with significant interests or subsidiaries in Northern Ireland, will also be subject to scrutiny from the European Commission in accordance with Article 10 of the Northern Ireland Protocol to the UK/EU Withdrawal Agreement.

### **9. Multiple Applications**

If project consortium members or subcontractors are part of multiple successful bids, they must be able to deliver on them and they must not have applied for funding for the same piece of work more than once. Organisations cannot be the lead on more than one bid.

### **10. Acceleration Support for SME Applications**

The BEIS Acceleration Support Scheme is available to Small & Medium Enterprise (SME) applicants who successfully make it to Phase 2: Development. This support is 100% funded by BEIS and will focus on supporting SMEs during Phases 2 and 3 to prepare commercial plans and actions that will increase the chance of successfully bringing the innovation to market, or reduce the time to market. More detail on this scheme, including eligibility, is included in **Appendix 5**

## **7.2 General BEIS Conditions**

Applicants must not meet any of the BEIS grounds for mandatory rejection, and as a general rule they should not meet any of the BEIS grounds for discretionary rejection (**see Appendix 2**). Applicants will be required to declare this as part of completing Declaration 6: Standard Selection Questionnaire.

### **Conflicts of interest**

The BEIS standard terms and conditions of contract include reference to conflict of interest and require Suppliers 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 Supplier, subcontractor (or consortium member) which could affect the actual or perceived impartiality of the research or analysis.

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

This is managed in the procurement process as follows:

- During the bidding process, Applicants may contact BEIS to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.
- Suppliers are asked to sign and return Declaration 3 (this is embedded in the online application form and is included for reference in Annex 2) 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.
- 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 BEIS exercising its right to terminate any contract awarded.

Applicants will be subject to financial viability checks, as described in **Section 10**. BEIS will make a decision as to the eligibility of projects based on the results of these checks.



## 8. Assessment Process and Criteria – Phase 1

The Assessment process to select Applicants to deliver the Phase 1 Feasibility studies will be conducted as follows:

**Stage 1:** Applications will be considered initially against the Competition eligibility criteria as set out in **Section 7**.

**Stage 2:** Applications which meet all relevant eligibility criteria as detailed at Stage 1 will be further assessed against a number of Assessment Criteria by a minimum of three assessors (BEIS or BEIS appointed assessors). The Assessment Criteria and linked scoring approach are set out at **Sections 8.1** and **8.2** respectively.

**Stage 3:** Project scores will then be moderated to determine a ranking list that will be used to allocate the funding in line with guidance at **Section 8.3**.

### 8.1 Phase 1 - Assessment Criteria

Applicants will be assessed against their response to the Assessment Criteria as set out below. Each criterion will be scored independently and will be given a score between 1 and 5 consistent with the guidance at **Section 8.2**. Applicants should ensure that their responses specifically address the requirements as set out in the ‘Guidance’ section linked to each Assessment Criteria.

**Table 8.1 – Phase 1 - Assessment Criterion**

<b>Assessment Criterion 1 – Innovative technology demonstration - Description of novel technology and the technical feasibility of the technology</b>			
Weighting	25%	Maximum Word Count	3,000
<b>Guidance</b>			
Applicants will be assessed based on the scope for their proposed technology Solution to enable automatic registration of small-scale energy assets (Workstream 1) and facilitate the secure exchange of small-scale energy asset data (Workstream 2). High scoring applicants will demonstrate how their solution will enable both the exchange of ‘static’ asset data and dynamic, live asset data, as outlined in the <b>Section 7 – Technology Scope</b> .			
Applicants should use their responses to:			

- Demonstrate a clear understanding of the Competition Phase 1 requirements, and detail how their proposed Solutions are innovative, and why – and to what extent – they believe they are technically feasible.
- Set out the following details in relation to both Workstreams 1 and 2:
  - The innovative Solution included in their proposed approach.
  - Whether similar Solutions/approaches exist, and how their proposed approach is different, i.e. how the implementation of their Solution to meet the Competition objectives is innovative.
  - How their Solution will overcome the barriers associated with current registration processes, outlined in **Section 1.2.**, whilst considering the Competition eligibility criteria outlined in **Section 7.1**, where relevant.
  - Demonstrate how their proposed Solution will link to existing industry datasets and processes, highlighting how existing data will be reused. For example, the [ENA Type Test Register](#), the [Embedded Capacity Register](#) and the existing [ENA work on the operational visibility of larger assets](#).
  - Describe how their proposed Solution will work and how it would integrate with/contribute to a digitalised, flexible and decarbonised energy system.
  - Describe the potential technical, legal and regulatory challenges associated with the developed and deployment of their proposed Solution.
  - Describe how their proposed Solution will ensure data privacy and cyber security, with a particular focus on protecting asset owners and users.

**Assessment Criterion 2 – Solution Commercialisation and Scalability**

Weighting	10%	Maximum Word Count	1,500
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**Guidance**

Applicants are required to summarise the deemed scalability of their proposed Solutions and summarise proposed routes to commercialisation.

Applicants should use their responses to:

- Describe the scalability of the proposed Solution(s) and applicability across different use-cases and parts of the energy sector. Applicants are minded to consider in their response the requirements for scalability set out at **Table 4.1 in Section 4**.
- Detail the organisations they anticipate requiring support from to deploy their Solution at the end of Phase 2 and the nature of that support – to include but not be limited to the standards, interfaces and governance structures necessary to enable collection and sharing of energy asset data.
- Summarise the proposed route(s) to commercialisation, outlining different identified funding models and revenue streams that might be utilised to finance the proposed Solution following the end of SBRI funding.

<b>Assessment Criterion 3 - Project Team, Organisation and Experience</b>			
Weighting	15%	Maximum Word Count – <i>not including CVs and organogram / resource plan</i>	1,500
<p><b>Guidance</b></p> <p>Applicants should use their responses to detail how their organisation(s) and proposed project team can offer the relevant skills, capabilities and experience required to meet the Competition Requirements. Responses should include:</p> <ul style="list-style-type: none"> <li>• An organogram and high-level resource plan clearly detailing the roles and key responsibilities of all personnel from the lead Applicant – and consortium partners as relevant – in delivery of Competition requirements and Deliverables across the three Phases.</li> <li>• The relevant skills, qualifications, and experience of the main project team members. Summary CVs for relevant personnel – Maximum two (2) sides per person – may be attached to your application.</li> <li>• Details of projects completed in the last five (5) years that you consider of relevance to this Competition including the date, location, client, project size and key lessons learnt.</li> <li>• Details of any external parties responsible for delivering goods or services worth more than 10% of the total project value, explaining how they will ensure these parts of the project team do not give rise to delays.</li> <li>• A description of the project team’s quality management standards, including a description of how the project team will quality assure the work across Phases 1,2 and 3.</li> </ul>			
<b>Assessment Criterion 4 – Project Management</b>			
Weighting	15%	Maximum Word Count – <i>not including Gantt chart</i>	1,500
<p><b>Guidance</b></p> <p>Applicants’ responses should include:</p> <ul style="list-style-type: none"> <li>• A separate A3 Gantt chart – or similarly detailed Project Plan attachment which: <ul style="list-style-type: none"> <li>○ Is structured on a monthly basis for Phase 1 and then quarterly for Phases 2&amp;3:</li> <li>○ For Phase 1:</li> </ul> </li> </ul>			

- Clearly sets out key monthly tasks and milestones associated with the production of Project Deliverables as set out at **Section 4**.
- Highlights critical dependencies – with accompanying narrative to be provided within main body response.
- For Phases 2 and 3:
  - Summarises key quarterly tasks and assumed milestones to meet subsequent Competition Deliverable requirements.\*
  - Identifies any critical dependencies linked to achieving overarching Competition requirements.
- Accompanying narrative detailing how you will ensure effective and appropriate Project management throughout the three Project Phases.
- A summary of the approach to risk management, including cybersecurity and privacy protocols around the collection, handling and storing of data.

*\*We understand that following the feasibility study phase, Phase 2 and Phase 3 plans may change. Successful Phase 1 projects will be required to report changes to Phase 2 plans to BEIS before progressing to Phase 2 and Phase 2 projects will be required to report changes to Phase 3 plans to BEIS before progressing to Phase 3.*

**Assessment Criterion 5 – Project Risks**

Weighting	5%	Maximum Word Count	n/a – Completion of Risk Proforma – Max 6 pages Arial font 11
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**Guidance**

Applicants should use their responses to:

- Detail in the provided Risk Proforma what they regard as the:
  - Up to five (5) key risks to successful delivery of the Phase 1 Requirements.
  - Up to five (5) key risks to successful delivery of the Phase 2 and 3 Requirements.
- Your response should include:
  - A summary of the risk – including dependencies;
  - The potential risk impact; and
  - Proposed approach to risk mitigation

**Assessment Criterion 6 – Knowledge Dissemination and Social Value**

Weighting	10%	Maximum Word Count	1,500
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**Guidance**

Applicants are required to set out their plans for wider knowledge dissemination, highlighting how this process can contribute to wider Social Value goals linked to Tackling Economic Inequality:

Applicants’ responses should include:

- A detailed Phase 1 knowledge dissemination plan and outline knowledge dissemination plans for Phases 2 and 3, describing:
  - How learnings from the feasibility study will be shared with industry, including key stakeholders, lessons learned, and challenges faced.
  - The scale and scope of the proposed dissemination and knowledge transfer activities.
- Commentary on how and why Applicants believe the Project for which they are seeking SBRI funding support can positively contribute to the following “Tacking Economic Inequality” Policy Outcomes as set out in HMG’s Social Value Model<sup>14</sup>.
  - Creating new businesses, jobs and skills.
  - Increasing supply chain resilience and capacity.

**Assessment Criterion 7 – Value for Money**

Weighting	10%	Maximum Word Count	1,500 – <i>Not including words in Project Cost Breakdown Form</i>
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**Guidance**

Applicants are required to complete the Project Cost Breakdown Form included as an electronic attachment in the Competition Pack – the ‘**Phase 1 Project Cost Breakdown Form**’ in line with guidance within the pack and at **Appendix 3**.

In addition, Applicants are required to provide overarching commentary (max 1,500 words) to accompany the detailed breakdown of their Project costs for all phases as set out in the Project Cost Breakdown Form. This commentary should:

- Detail how you have satisfied yourself that all costs and overheads are realistic, robust, justified, and fair market value.
- Demonstrate Project **additionality**, clearly setting out why SBRI funding is necessary for the Project to be taken forward, and why, without funding, the Project would either

<sup>14</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/940826/Social-Value-Model-Edn-1.1-3-Dec-20.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/940826/Social-Value-Model-Edn-1.1-3-Dec-20.pdf)

not go ahead as planned, go ahead but on a reduced scale, or go ahead but over a longer timescale.

Applicants should note that BEIS anticipates Phase 1 being a largely desk-top, and hence person-intensive exercise. On this basis additional justifying narrative should be provided for costs other than those captured on the ‘Labour and Overheads’ tab.

**Applicants should also note that BEIS will not normally pay overheads of over 50%, and overheads above this amount will need to be fully justified.**

**Assessment Criterion 8 – Price – Phase 1**

Weighting	10%	Maximum Word Count	Not applicable. Applicants will be scored on submitted price.
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**Guidance**

Applicants will be assessed based on their Total Project Costs figure as calculated at cell E31 on the ‘Summary’ tab of their Project Cost Breakdown Form, **subject to a maximum price cap of £150,000** and to all costs and overheads submitted on the Project Cost Breakdown Form meeting relevant eligibility requirements as set out at **Appendix 1**. Summary guidance on completing relevant sections of the Project Cost Breakdown Form is provide at **Appendix 3**. Applicants should include within their cost submissions eligible travel costs linked to attending a maximum of two Knowledge Dissemination events at one of the BEIS offices in either London or Salford<sup>15</sup>.

Scores will be awarded as follows:

The Applicant(s) submitting the lowest price will receive a maximum score of 5. All other Applicants will then be scored on a proportionate basis as set out below.

Applicant	Price (net VAT)	Score – maximum of 5
1 (lowest price)	£135,000	5
2	£140,000	$\frac{£135,000}{£140,000} * 5 = 4.82$ (2 d.p.)
3	£150,000	$\frac{£135,000}{£150,000} * 5 = 4.50$ (2 d.p)

<sup>15</sup> Within the Phase 1 Project Cost Breakdown Form Applicants are asked to include reasonable Travel and Subsistence costs (from within the UK) for one person to attend one KD event in central London and one in Salford – see stipulated rows on the ‘Travel and Subsistence’ tab.

## 8.2 Phase 1 - Scoring Guidance

Applicants' Assessment Criteria 1 – 7 responses will be scored based on the system outlined below.

**Table 8.2: Phase 1 - Scoring Guidance**

Score	Description
1	Not Satisfactory: There is no evidence to very little evidence that the question has been satisfactorily answered and major omissions are evident.
2	Partially Satisfactory: There is little evidence that the question has been satisfactorily answered and some omissions are evident. Much more detail is needed.
3	Satisfactory: There is reasonable evidence that the question has been satisfactorily addressed but some omissions are still evident and further detail is needed.
4	Good: The question has been well addressed with a good evidence base, with only minor omissions or lack of detail.
5	Excellent: There is clear evidence that the question has been completely addressed in all aspects, with questions answered clearly, concisely with a strong evidence base.

## 8.3 Phase 1 - Selection Approach

We anticipate selecting two projects based on an assessment of their proposals against the criteria outlined in Section 8.1. Applications will be assessed by a minimum of three assessors, which could include BEIS assessors and independent assessors (technical and commercial experts). A moderation meeting will be held at the end of the assessment process to agree the overall weighted scores for each of the projects.

Applications responses to Assessment Criteria 1-7 will be scored using the scoring system outlined at Table 8.2. To be eligible to receive funding, a Project application must achieve both the following Minimum Threshold Scores:

- Achieve a score of at least 2 out of 5 for Assessment Criteria 1-7.
- Achieve an overall minimum weighted score across all 8 Assessment Criteria of 50%.

Applicants will be ranked in order of merit based on overall weighted score achieved. The two (2) highest-scoring eligible proposals which satisfy the relevant Minimum Threshold Scores will be put forward for funding.

## NZIP – Automatic Asset Registration

In the event that two or more eligible Applications receive the same first and/or second ranking overall weighted scores, then the assessors will reconvene for a further moderation session to agree a consensus position around who should receive funding.



## 9. Indicative Assessment Process and Criteria – Future Phases

**Applicants should note that the Future Phase Assessment Process and Criteria presented in Section 9 are indicative and subject to additional detail and further iteration ahead of issue to successful Phase 1 Applicants.**

The Assessment process to select the Applicant to progress to Phase 2 and 3<sup>16</sup> will interrogate the technical, cost and commercial viability of Applicants' Feasibility Study content. Applicants will also need to provide updated Project plans.

**Stage 1:** Applications will initially again be considered against the Competition eligibility criteria as set out in **Section 7** to ensure ongoing compliance.

**Stage 2:** Applications which meet all relevant eligibility criteria as detailed at Stage 1 will then be further assessed against a number of Assessment Criteria by a minimum of three assessors (BEIS or BEIS appointed assessors). The Assessment Criteria and linked scoring approach are set out at **Sections 9.1** and **9.2** respectively.

**Stage 3:** Project scores will then be moderated to determine a ranking list that will be used to allocate the funding in line with guidance at **Section 9.3**.

### 9.1 Assessment Criteria – Future Phases

Applicants will be assessed against their response to the Assessment Criteria as set out below, covering outputs from both Workstream 1 and 2. Each criterion will be scored independently and will be given a score between 1 and 5 consistent with the guidance at **Section 9.2** below. Applicants should note that:

- No additional content will be required from Applicants in response to **Assessment Criteria 1-2** as both will assess content in the Phase 1 Feasibility Study, the content of which is specified in Section 4.1 and structure to be agreed with successful projects at Phase 1 inception.
- Assessment Criteria **3-6** will require Applicants to update or newly populate spreadsheets, Gantt charts or proformas previously populated as part of Applicants' Phase 1 responses.

Applicants should ensure that their responses specifically address the requirements as set out in the 'Guidance' section linked to each Assessment Criteria.

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<sup>16</sup> Progression to Phase 3 being contingent on satisfying the Stage Gate Review process

**Table 9.1 – Future Phases – Assessment Criterion**

<b>Assessment Criterion 1 – Design and Technology Assessment</b>			
Weighting	25%	Maximum Word Count	n/a – Feasibility Study Reports
<p><b>Guidance</b></p> <p>The Design and Technology Assessment will evaluate the extent to which Applicant’s Feasibility studies demonstrate that their Solutions are unique, applicable to the UK energy system and will meet the objectives of this programme.</p> <p>Feasibility Study elements which Applicants will be assessed on will include:</p> <ul style="list-style-type: none"> <li>• Their detailed architectural (flow) diagram for both Workstream 1 and 2, detailing how data will move and what is happening to it at each stage. These diagrams should be accompanied with detailed explanations and associated technical data and should include: <ul style="list-style-type: none"> <li>○ A description of any limitations with their proposed Solutions</li> <li>○ A description of the use-cases for their proposed Solution</li> <li>○ An assessment of the benefits and challenges of their proposed Solution.</li> <li>○ A clear and robust assessment of the scalability of their proposed solution, as specified in Table 4.1, Overarching Activities.</li> </ul> </li> <li>• The robustness of the Applicant’s assessment of the technical, legal, cyber-security, data privacy and data access requirements necessary to develop and deploy their proposed solution.</li> <li>• The robustness of assumptions made and the detail and transparency of supporting evidence.</li> <li>• Clear evidence of robust stakeholder engagement, especially with DNOs, and outputs of this engagement being incorporated into the overarching approach.</li> </ul>			
<b>Assessment Criterion 2 – Route to Market and Future Funding Models Assessment</b>			
Weighting	20%	Maximum Word Count	n/a – Feasibility Study Reports
<p><b>Guidance</b></p> <p>The Route to Market and Future Funding Models Assessment will evaluate the extent to which the Workstream 1 and Workstream 2 Feasibility studies contain credible proposals for future commercialisation of proposed Solutions at scale, including future business and funding models.</p>			

Specific Feasibility Study elements which Applicants will be assessed on will include:

- Route to Market Assessments – Do these present a credible and cohesive approach to deploying and operating the Solutions at scale?
- Identification and assessment of credible future business/funding models to support ongoing development of the Solutions following the end of SBRI funding.

**Assessment Criterion 3 – Costed Development Plan**

Weighting	15%	Maximum Word Count – <i>not including words in Project Cost Breakdown Form</i>	1,500
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**Guidance**

As set out at Section 4.1, as part of the Feasibility Study process, Projects will be asked to complete a further, more detailed version of the Project Cost Breakdown Form – the ‘**Project Cost Breakdown Form – Future Phases**’.

In addition, Applicants are required to provide overarching commentary (max 1,500 words) to accompany the detailed breakdown of their Project costs for Phases 2 and 3 as set out in the Project Cost Breakdown Form. This commentary should:

- Detail how you have satisfied yourself that all costs and overheads are realistic, robust, justified, and fair market value.
- Demonstrate Project **additionality**, clearly setting out why SBRI funding remains necessary for the Project to be taken forward.

**Applicants should also note that BEIS will not normally pay overheads of over 50%, and overheads above this amount will need to be fully justified.**

**Assessment Criterion 4 – Project Management**

Weighting	20%	Maximum Word Count – <i>not including Gantt chart</i>	1,500
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**Guidance**

Applicants’ responses should include:

- A separate A3 Gantt chart – or similarly detailed Project Plan attachment which:
  - Is structured on a monthly basis
  - For Phases 2 and 3:
    - Summarises key monthly tasks and assumed milestones to meet subsequent Competition Deliverable requirements

<ul style="list-style-type: none"> <li>▪ Identifies any critical dependencies linked to achieving overarching Competition requirements.</li> <li>• Accompanying narrative detailing how you will ensure effective and appropriate Project management throughout Phases 2 and 3. This should factor in lessons learnt during Phase 1 to include the approach to risk management, including cybersecurity and privacy protocols around the collection, handling and storing of data.</li> </ul>
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**Assessment Criterion 5 – Project Risks**

Weighting	10%	Maximum Word Count	n/a – Completion of Risk Proforma – Max 6 pages Arial font 11
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**Guidance**

Applicants should use their responses to:

- Detail in the provided Risk Proforma what they regard as the:
  - Up to five (5) key risks to successful delivery of the Phase 2 Requirements.
  - Up to five (5) key risks to successful delivery of the Phase 3 Requirements
- Your response should include:
  - A summary of the risk – including dependencies
  - Whether this is an update on a previous risk identified at Phase 1, or a new risk identified during Phase 1
  - The potential risk impact; and
  - Proposed approach to risk mitigation **to include lessons learned during the Feasibility Stage process.**

**Assessment Criterion 6 – Price – Phase 1**

Weighting	10%	Maximum Word Count	Not applicable. Applicants will be scored on submitted price.
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**Guidance**

Applicants will be assessed based on their Total Project Costs figure as calculated at cell E31 on the ‘Summary’ tab of their Project Cost Breakdown Form. This will be subject to:

- A maximum price cap of £1,200,000 for Phase 2 and £500,000 for Phase 3, and:
- All costs and overheads submitted on the Project Cost Breakdown Form meeting relevant eligibility requirements as set out at Appendix 1.

Scores will be awarded as follows:

The Applicant(s) submitting the lowest price for Phases 2 and 3 will receive a maximum score of 5. All other Applicants will then be scored on a proportionate basis as set out below.

Applicant	Price (net VAT)	Score – maximum of 5
1 (lowest price)	£1,500,000	5
2	£1,600,000	$\frac{£1,500,000}{£1,600,000} * 5 = 4.69$ (2 d.p.)
3	£1,700,000	$\frac{£1,500,000}{£1,700,000} * 5 = 4.41$ (2 d.p.)

## 9.2 Future Phases - Scoring Guidance

Applicants’ Assessment Criteria 1 – 6 responses will be scored based on the system outlined below:

**Table 9.1: Scoring Guidance**

Score	Description
1	Not Satisfactory: There is no evidence to very little evidence that the question has been satisfactorily answered and major omissions are evident.
2	Partially Satisfactory: There is little evidence that the question has been satisfactorily answered and some omissions are evident. Much more detail is needed.
3	Satisfactory: There is reasonable evidence that the question has been satisfactorily addressed but some omissions are still evident and further detail is needed.
4	Good: The question has been well addressed with a good evidence base, with only minor omissions or lack of detail.

5	Excellent: There is clear evidence that the question has been completely addressed in all aspects, with questions answered clearly, concisely with a strong evidence base.
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### 9.3 Future Phases - Selection Approach

BEIS will select the Application that offer the best overall value for money, based on their assessment against the criteria outlined in Section 9.1. Applications will be assessed by a minimum of three assessors, which could include BEIS assessors and independent assessors (technical and commercial experts). A moderation meeting will be held at the end of the assessment process to agree the overall weighted scores for each of the projects.

Applications responses to Assessment Criteria 1-5 will be scored using the scoring system outlined at Table 9.2. To be eligible to receive funding, a Project application must achieve the following Minimum Threshold Scores:

- Achieve a score of at least 2 out of 5 for Assessment Criteria 1-5.
- Achieve an overall minimum weighted score across all 6 Assessment Criteria of 50%.

The highest-scoring eligible Future Phase Application which satisfy the relevant Minimum Threshold Scores will be put forward for funding of **up to £1,200,000 at Phase 2 and £500,000 at Phase 3** (subject to meeting relevant Phase 2 Stage Gate Review requirements).

In the event that two or more eligible Applications receive the same highest ranking overall weighted score, then the assessors will reconvene for a further moderation session to agree a consensus position around who should receive funding.

# 10. Financial Eligibility and Viability

## 10.1 Financial Eligibility

Applicants are required to complete the relevant tabs of the BEIS Project costs breakdown form contracts (the 'Phase 1 Project Cost Breakdown Form') which is provided as **an electronic Annex to the Competition pack** setting out their fixed funding requirement to carry out the project. Applicants should only input in the specified light blue input cells and should consult guidance on completion which is embedded within the Form and can be accessed by clicking on the relevant cell.

BEIS reserves the right to exclude Applicants from the Competition where they cannot satisfactorily evidence the eligibility of costs and overheads in line with guidance provided at **Appendix 1**. Financial information should include costs for the entire project, detailing labour (including personnel day rates), material and capital equipment costs, and any travel and subsistence requirements.

BEIS can only provide funding for eligible costs and overheads incurred up to the end of the relevant Contract currently estimated as June 2024.

## 10.2 Financial viability checks

### Economic and Financial Assessment of Applicants

BEIS will undertake financial viability checks on all provisionally successful Applicants. Where there is more than one organisation in the Applicant group, the required financial information (see below) should be provided for any entity who is forecast to deliver at least 25% of the Contract by value – including sub-contractors. Applicants may be asked to respond to clarification questions linked to these financial viability checks and, where relevant asked to provide satisfactory evidence of how identified financial risks are being actively managed and mitigated.

The Applicant's/Project's Financial Viability will take into account (amongst other things) whether the Applicant is able to demonstrate a robust business plan and financially sustainable business model in respect of the relevant Project. Tests of financial viability will be conducted in line with industry best practice. They may include (but are not limited to):

- whether an Applicant/Project/ultimate parent company has sufficient liquidity (it is capable of covering its short-term commitments);
- whether an Applicant/Project/ultimate parent company is financially autonomous (it is capable of covering its debt costs); and
- whether an Applicant/Project/ultimate parent company is solvent (it is capable of covering its medium and long-term commitments).

## NZIP – Automatic Asset Registration

Checks will include reviewing the latest independently audited accounts filed on the Companies House database. Where a company or organisation is not required to file accounts with Companies House, other financial information will be requested to enable an appropriate financial viability review to be undertaken. This might include:

- A copy of last two years accounts as filed with Companies House; or
- A copy of last two years accounts – if not obliged to file with Companies House; or
- 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 company or organisation
- 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).

If you are bidding as a new Project company, we will review letters of support from Project partners / investors and may also review the financial statements of each partner.

### **Parent Company Guarantees and other potential mitigations**

Where an applicant is a special purpose vehicle (SPV), BEIS will require a parent company guarantee(s) (PCG) from relevant companies or organisations. BEIS shall accept this as satisfying the applicant's financial viability checks subject to the necessary financial viability checks being performed on the parent company to BEIS' satisfaction.

The Department may also, at its discretion require PCGs or other satisfactory mitigations to be put in place in relation to other provisionally successful Applicants, ahead of Contract award. Acceptable mitigations may include, but are not limited to those set out in Section 3 to the Government and Commercial Function's'

[Assessing and monitoring the economic and financial standing of suppliers guidance note May 2021.pdf](https://www.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/90242/assessing-and-monitoring-the-economic-and-financial-standing-of-suppliers-guidance-note-may-2021.pdf) ([publishing.service.gov.uk](https://www.publishing.service.gov.uk)).

**Where provisionally successful applicants are unable to provide mitigations to BEIS' satisfaction they will be excluded from the Competition.**

### **Financial Viability checks Post-Contract Award**

During both the Phase 1 and Future Phases Contract period, successful Applicants must provide to BEIS all subsequent year end accounting data – audited or alternative as set out above – within 30 days of accounts being issued, and this will be subject to the same scrutiny as set out above. Successful applicants should also immediately notify BEIS, in writing, where they believe, on the balance of probabilities, that they will not be able to access sufficient match funding to complete the Project.

BEIS reserves the right to cease payment of allocated SBRI funding where it has reasonable grounds to believe that the successful Applicant is unlikely to be able to complete

### **Contractual payments**



## NZIP – Automatic Asset Registration

BEIS will not make payments in advance of need and typically makes Contract payments in arrears on satisfactory completion of agreed milestones and deliverables. BEIS therefore anticipates making payment after delivery of Feasibility Studies that meets all relevant quality content and format requirements as detailed at **Section 4** to this document.

BEIS understands, however, the difficulties which small businesses may face when financing this type of project. BEIS will explore cash flow issues with the Applicant as part of developing the financial and milestone profile during the Contract Award process. BEIS will offer flexibility in terms of profiles and payments, within the confines of the requirements for use of public money within which it operate

# 11. Notifications and Publications of Results

## 11.1 Notification

Applicants will be informed by email whether their application has been successful.

BEIS may wish to publicise the results of the scheme which may involve engagement with the media. At the end of the application and assessment process, BEIS may issue a press release or publish a notice on its website. These public documents may, for example, outline the overall results of competitions and describe some of the projects to be funded.

**Confidentiality request:** Some organisations may want their activities to remain confidential and you will be given a chance to opt out of any involvement in media relations activity and further case study coverage of projects, should you see this as being absolutely necessary. However, the public description of the project you provide in your application will be made available in the public domain if your application is successful, and you are not able to opt out of the project description being published. As such, you must provide a short description (<500 words) of your proposed project.

In addition, all funded projects must include reporting and dissemination milestones – agreed with BEIS - as part of their project deliverables, determined after the award of the contract (see **Section 4** for further information on deliverables). Information about all contract awards will also be published on Contracts Finder.

Any organisation that wishes to publicise its project, at any stage, must contact the Competition Project Manager or their Project Monitoring Officer at BEIS and obtain written permission before doing so.

## 11.2 Publication of results

SBRI involves a high degree of risk-benefit sharing. In return for provision of funding and non-financial support during project activities, BEIS expects to be able to use and share the results and outputs of the project activities with other Government Departments, industry and other stakeholders to further understanding and progress technology development and deployment.

BEIS also wishes to publicise details of the award recipients. Therefore, on or after issuing the SBRI contract agreement, BEIS will publish the following information:

- Identity of the participant and its partners.
- Project summary information including aims and expected outcomes of the project and technology area.

- Total award value.

Following completion of the funded projects, BEIS will publish on its website a summary of the funded activities and the outcomes achieved. This will include a final summary report from each project.

BEIS may also revisit projects at a later date and publish an evaluation report for the scheme as a whole.

BEIS however recognise the need to maintain confidentiality of commercially sensitive information. BEIS will consult Applicants regarding the nature of information to be published, in order to protect commercially sensitive information. The notice of the award on Contracts Finder will also include the value of the contract.

### 11.3 Feedback, Re-application and Right of Appeal

A short summary of key feedback regarding the applications will be provided to all applicants. This feedback will be based on the comments of technical assessors. No additional feedback will be provided and there will be no further discussion on the application.

The feedback from the assessors is intended to be constructive. Comments are not a checklist of points which must be answered or argued in a resubmitted application as the assessors/requirements may be different and it is your decision as to whether you act on the suggestions made.

BEIS' decision regarding any application is final and no appeal process is in place, so it is important that you make any points you wish to make clearly and concisely in the Application Form.

# 12. Reporting, KPIs and Knowledge Sharing

## 12.1. Project monitoring and reporting

This Competition has a requirement to demonstrate the benefits and KPIs that it is seeking to realise for the Flexibility Innovation Programme and the wider Net Zero Innovation Portfolio. This ensures that the Competition can robustly demonstrate its contribution to key benefits such as energy system decarbonisation and security of energy supply.

Project monitoring and reporting is required to track project progress and ensure payments are made according to a schedule of milestones, to be agreed between BEIS and funding recipients. BEIS will appoint a Monitoring Officer (one assigned to each project) to monitor the delivery of all milestones and outputs and Projects will need to include sufficient time for the approval process to enable timely delivery of all deliverables. Reporting will be in confidence to BEIS and its Monitoring Officers and will not be published. Reporting requirements and the relevance of benefits to KPIs is discussed at **Section 12.2**

Project teams will be required to meet with their Monitoring Officer at least monthly, as well as submit quarterly project progress reports, reporting against project key performance indicators (KPIs) (see **Section 12.3**) and accommodate quarterly site visits (COVID-19 dependent) for the BEIS programme team to assess progress against Phase 1 plans.

Project teams will also be required to support the evaluation of the Flexibility Innovation Programme following the end of their project, by providing data on programme KPIs through a survey, and taking part in interviews on project delivery and impact. Further information on programme evaluation requirements is set out in **Section 12.5**

## 12.2 Benefits realisation and management

At the inception meeting, successful Phase 1 projects will be asked to select one or more benefits that their project will contribute to. Projects should select benefits for which they can report on a minimum of one measure, and should note that if successful, they will be encouraged to report on more than one measure for their selected benefits.

In the table below the ‘Benefit/Measure’ column sets out the full list of benefits which Applicants can select from, and the ‘Links to KPIs’ column highlights the equivalent NZIP KPI (where equivalent) – see Section 7.3 for further detail on NZIP KPIs.

**Table 12.1: Benefits, measures and KPIs**

Benefit/Measure	Links to KPIs
<b>Reduction in carbon emissions</b>	
Potential volume of CO2 savings (kT CO2e/yr)	9
Enabling increased renewable energy on the grid	9
Reduction in energy consumption - energy saving per unit/yr (MWh/yr)	7ii
Reduced peak demand for power	7ii

<b>Accelerate Commercialisation</b>	
Value of sales	8
Number and value of contracts signed	8
Amount of private funding leveraged at Project close	6i
Amount of follow-on funding received	6ii
Increased deployment of commercially viable Solutions	7iii
Total value of exports/increased export potential	8
Technology Readiness Level progression	5
<b>Cost reduction of low carbon technologies</b>	
Reduction in cost of the innovation	5
Reduction in the unit cost of energy	7i
Reduced cost to consumers	7i
<b>Demonstrating UK leadership on the innovation</b>	
Number of domestic and international collaborations	4
Number of invitations to speak at international events	N/A
Amount of domestic and international interest in the technology	N/A
Amount of media coverage	N/A
<b>Increased knowledge stimulating further innovation</b>	
Successful completion and publication of Project reports demonstrating viability of new technologies	N/A
Amount of further R+D capital committed to the innovation	6ii
Amount of follow on funding received	6i/6ii
Number of trial consumers recruited and retained during the Project	N/A
<b>Growth and resilience in UK companies</b>	
Number of jobs supported	3
Increase in the market potential of the innovation	5
Developing the supply chain: Number of new companies in the Projects supply chain	4
Amount of follow on funding	6ii
<b>Increased flexibility of supply</b>	
Number of flexible tariffs that were developed and offered	7iii
Number of consumers who signed up to flexible tariffs	7iii/7i/8
Number of low carbon technologies offered to consumers giving access to flexible tariffs	7iii/8

Number of low carbon technologies offered to consumers giving access to flexible tariffs	7iii/8
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## 12.3 Key Performance Indicators

BEIS requires all funding recipients under the Net Zero Innovation Portfolio (NZIP) to report on key performance indicators (referred to as NZIP KPIs) to provide a consistent approach to reporting evidence, and to track and measure key outputs, outcomes and impacts. The evidence collected is used to demonstrate the impact of the NZIP on achieving the government’s Net Zero ambitions and is necessary to be able to run future competitions.

SBRI recipients will be required to report on KPIs at various intervals for each Project, including at the start of the Project, annually, at Project closure and for three years after Project closure. BEIS will

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supply grant recipients with a reporting template to complete at set intervals, and recipients are expected to return the template to their Monitoring Officer upon completion, who will review and quality assure it. At Project start, your Project Monitoring Officer will provide further details about the calculation of these KPIs and assist with the initial completion and measurement.

Please note that it may at times be necessary to make changes to the NZIP KPIs, data collection modes or frequencies. We will endeavour to keep all changes to a minimum and communicate any implications to you via the Monitoring Officers in advance of collection.

BEIS will be collecting the following KPIs, with data which *will be provided by Monitoring Officers marked in italics*. Not all data will be collected annually.

**Table 12.2: NZIP KPIs**

KPI	KPI description	Metrics
KPI 1	<i>Number of NZIP Projects supported</i>	<ul style="list-style-type: none"> <li><i>Project start and completion.</i></li> </ul>
KPI 2	<i>Number of NZIP Projects that have met objectives</i>	<ul style="list-style-type: none"> <li><i>Extent to which Project objectives have been met to date</i></li> <li><i>Change in objectives and reasons for change</i></li> </ul>
KPI 3	<i>Number of organisations supported to deliver the Project</i>	<ul style="list-style-type: none"> <li><i>Lead partner delivering the Project: name, organisation size and number of jobs supported within the organisation to deliver the Project.</i></li> <li><i>Other partner organisations involved in delivering the Project as named on the Contract or Grant: name, organisation size and number of jobs supported within the organisation(s) to deliver the Project.</i></li> </ul>
KPI 4	<i>Number of active contractual and non-contractual business relationships supported</i>	<ul style="list-style-type: none"> <li><i>Number of contractual relationships: name and type of contractual relationship.</i></li> <li><i>Number of formal non-contractual business relationships: name and type of non-contractual relationship</i></li> <li><i>Extent to which your organisation expanded its network of business relationships as a result of the Project</i></li> </ul>
KPI 5	Technology Advancement	<ul style="list-style-type: none"> <li>Technology Readiness Levels (current and anticipated)</li> <li>Other technology improvement indicators: patents applied for or granted; academic, technical or non-technical publications generated and knowledge exchange events attended (such as conferences)</li> </ul>
KPI 6i	<i>Initial Financial Leverage to deliver Project</i>	<ul style="list-style-type: none"> <li><i>Project funding structure: Amount in £m of BEIS, Other Public Sector and Private Funding.</i></li> </ul>
6ii	Follow-on Funding secured	<ul style="list-style-type: none"> <li>Amount of follow-on funding raised and the source (public or private).</li> </ul>
7iii	Increase in energy system flexibility	<ul style="list-style-type: none"> <li>Scope and scale of impact on energy system flexibility</li> <li>Route to increasing energy system flexibility</li> </ul>
KPI 8	Commercialisation advancement	<ul style="list-style-type: none"> <li>Commercial readiness levels (current and anticipated)</li> <li>Steps towards commercialisation incl. licensing agreements, commercial partnerships, product certifications etc.; national/ international standards passed</li> <li>UK and International sales secured and their value (£m)</li> </ul>
KPI 10	Policy influence	<ul style="list-style-type: none"> <li>Whether, how, and to what effect evidence from the Project has informed policy development</li> <li>Whether Projects have engaged in activities with industry or civil society</li> </ul>

## 12.4 Reporting requirements

Regular Project monitoring and reporting will take two forms:

- Project teams will be required to meet with their Monitoring Officer at least once per month to discuss Project progress, finance updates and highlight successes, issues, and risks. Project teams will also
- Projects will be required to submit a Project progress report every quarter. We expect this report to cover, as a minimum, the following **Quarterly Project Management Information**.
  - progress against the Project delivery plan and Project milestones and deliverables (**see Section 4**)
  - upcoming work over the next quarter
  - financial information (including budget spend so far and budget forecast)
  - an updated risk register (including flagging where risk ratings have changed or new risks/issue have emerged)
  - any key lessons learnt during delivery, and progress against relevant programme benefits (**see Section .2**).

The Competition will be reporting against a selection of the benefits listed above in **12.1** using the measures listed to provide evidence for each of these benefits. The corresponding KPIs listed relate to the portfolio-level KPIs discussed in **Section .3**. This table is **for information only** and serves to outline the expected level of granularity for reporting against benefits.

Based on the benefits selected in their application form, each successful Applicant will be asked to complete a Benefits Plan (see **Appendix 4** for an example) at the Project kick-off meeting. Some benefits will have a quantitative measure that will be tracked using metrics that the Project provides; other benefits are qualitative, the success of which could be determined by the quality of reports and other evidence produced. At this stage, Projects may also identify additional measures that they will report on to demonstrate a particular benefit, although this is not a necessary requirement.

Progress against Projects' Benefits Plans will be monitored on a quarterly basis by the Project Monitoring Officers. Projects will be required to make available any Project data that is reasonably necessary for reporting against the Project benefits. They will also be required to declare where they may need assistance in contributing to the Project benefits.

## 12.5 Evaluation requirements

Successful applicants will also be required to participate in and facilitate an evaluation of this programme, which will be delivered by an external contractor commissioned by BEIS. The specific role of the external evaluator and scope of the evaluation is yet to be confirmed, though it is likely to include qualitative and quantitative data collection and analysis in order to assess programme delivery, impact and value for money and identify learnings. Projects will be required to participate in and contribute to the evaluation activities, both during and after final contract payments, including by providing relevant primary and secondary data to the evaluation contractor and by participating in research interviews.

## 13. Intellectual Property

The proposed arrangements for intellectual property rights (IPR) and exploitation of IPR are set out in the contract terms and conditions for this competition, in **Annex 1**

Subject to the requirements of **Conditions 27 and 28** of the standard terms and conditions (Annex 1) Applicants will retain ownership of the intellectual property generated from the project. Applicants are required to identify and record any such intellectual property and to protect patentable knowledge in accordance with **Condition 28** of the standard terms and conditions. If within five years of its creation Applicants have not commercially exploited intellectual property generated from the work, then in line with **clause 28 (5)** of the standard terms and conditions, BEIS may request the intellectual property be assigned to BEIS.

**All software developed as part of this Competition must be published under an Open-Source license.**



## 14. Confidentiality and Freedom of Information

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 through 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. Where any request is made to BEIS under the FOIA for the release of information relating to any project or Applicant, which would otherwise be reasonably regarded as confidential information, BEIS will notify you of the request as soon as we become aware of it.

If you wish to designate information supplied as part of your tender 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).

As part of the application process all Applicants are asked to submit a public description of the project. This should be a public facing form of words that adequately describes the project but that does not disclose any information that may impact on Intellectual Property (IP), is confidential or commercially sensitive. The titles of successful projects, names of organisations, amounts awarded, and the description of the project may be published once the award is confirmed as final.

Additionally, the Government’s transparency agenda requires that tender documents (including competition guidance 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(s) once the procurement is complete. By submitting a tender, you agree that your participation in this procurement may be made public. Aside from the public description of your project (see above), 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.

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All assessors used during the assessment of applications will be subject to a confidentiality agreement.

## 15. Terms and Conditions

The Department's Standard Terms and Conditions of Contract as amended for the purposes of this Competition will apply to this contract (**see Annex 1**).

## 16. Further Instructions to Applicants

The Department reserves the right to amend the enclosed Competition documents at any time prior to the publication of supplier questions and answers **5<sup>th</sup> May 2022**. Any changes are most likely to include editorial errors and include FAQs from questions asked from stakeholders/applications before **5<sup>th</sup> May 2022**. Any such amendment will be numbered, dated and issued on the website. 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 proposal is considered to be fundamentally unacceptable on a key issue, regardless of its other merits, that proposal may be rejected. By issuing this Competition document, the Department is not bound in any way and does not have to accept the lowest, or any, proposal and reserves the right to accept a portion of any proposal unless the tenderer expressly stipulates otherwise.

### 16.1 Application checklist

To submit a tender application for this Competition, you must complete the online registration form, available [here](#), and use the resulting password to complete your online application form.

Please answer all questions on the application form fully.

Please download from your application form, complete and upload to your application form the following documents. All these documents are also available on the Automatic Asset Registration Competition web-page.

- Phase 1 - Project Cost Breakdown Form
- Risk Proforma
- Signed Declarations:
  - Declaration 1: Signed Statement of Non-Collusion
  - Declaration 2: Signed Form of Bid
  - Declaration 3: Signed Conflict of Interests statement
  - Declaration 4: Signed Code of Practice for Research
  - Declaration 5: The UK General Data Protection Regulation Assurance Questionnaire for Contractors
  - Declaration 6: Signed Standard Selection Questionnaire, including addressing the BEIS Exclusion Grounds

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- A Project Plan/ detailed Gantt chart is also required. See the online Application form for more details.

Please also upload to your application the relevant financial information as set out in **Section 10.2**

## 16.2 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.

## 16.3 Data Protection and 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. A guide to the UK General Data Protection Regulation published by the Information Commissioner's Office, can be found [here](#).

**Annex 2** 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 Applicant from this procurement.

## 17. 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.

**Annex 2** contains a "Statement of non-collusion" (Declaration 1); any breach of the undertakings covered under items 1 - 3 inclusive will invalidate your tender. If a contractor has indulged or attempted to indulge in such practices and the tender is accepted, then grounds shall exist for the Authority to terminate the contract and claim 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.

# Appendix 1 - Eligible and Ineligible Costs

## General Requirements

**Timing:** BEIS will only provide the funding to cover eligible costs incurred and defrayed in the period between the project start date specified in the contract, and the deadline specified in the contract for completion of the project.

**Who can incur eligible costs:** The definition of eligible costs includes the Applicant's own costs, eligible costs incurred by consortium members and eligible costs incurred by companies sub-contracted to the Applicant or consortium members as defined in the application or subsequent agreements between the successful Applicant and BEIS.

**Non-sterling costs:** Costs must be denominated in GB pounds. If relevant, Applicants should indicate where conversion has been made to GB pounds from other currencies and indicate the conversion rate and assumptions used.

**Research and development costs** Your application must have at least 50% of the Contract value attributed directly and exclusively to research and development services.

## Eligible Costs

Directly incurred costs:

These are costs that are specific to the project that will be charged to the project as the amount spent, fully supported by an audit record justification of a claim. They comprise:

- Labour costs for all those contributing to the project, broken down by individual
- Material costs (including consumables specific to the project)
- Capital equipment costs\*
- Sub-contract costs
- Travel and subsistence

\*Under SBRI rules, BEIS will only pay full capital equipment costs for equipment that is specialised and bespoke enough that it only has a value for the duration of the project. For capital equipment that has a value at the end of the contract, BEIS will only pay depreciation costs for the duration of the project, in line with your

accounting policy for depreciation. For example, if a project budget includes the cost of purchasing six new laptops, it is highly likely that these will still have value at the end of the project. As such, BEIS would only pay depreciation costs on these laptops across the duration of the project.

### **Indirect costs:**

Indirect costs should be charged in proportion to the amount of effort deployed on the project. Applicants should calculate them, using their own cost rates. They may include:

- General office and basic laboratory consumables
- Library services / learning resources
- Typing / secretarial
- Finance, personnel, public relations and departmental services
- Central and distributed computing
- Overheads

**BEIS will not normally pay overheads of over 50%, and any overheads above this amount will need to be fully justified.**

### **Ineligible Costs**

Under no circumstances can costs for the following items be claimed:

- Commercialisation activities
- Profit (i.e. Applicants should not include profit for themselves or the other project team members within indirect costs or include it as a separate project cost)
- Profit on contractors (i.e., where contractors are used in key posts, these contractors should be paid at the standard market rate)
- Contingency / Contingent costs
- Protection of IPR (including patent costs)
- For activities of a political or exclusively religious nature
- In respect of costs reimbursed or to be reimbursed by funding from other public authorities or from the private sector
- In connection with the receipt of contributions in kind (a contribution in goods or services as opposed to money)
- To cover interest payments (including service charge payments for finance leases)



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- For the giving of gifts to individuals, other than promotional items with a value no more than £10 a year to any one individual
- For entertaining (entertaining for this purpose means anything that would be a taxable benefit to the person being entertained, according to current UK tax regulations)
- To pay statutory fines, criminal fines or penalties
- In respect of VAT that you are able to claim from HM Revenue and Customs.

# Appendix 2 - Exclusion Grounds

## 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;

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

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

Any offence:

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

### **Money laundering or terrorist financing**

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

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

Child labour and other forms of trafficking human beings

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

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

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

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

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

Non-payment of tax and social security contributions

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

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

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

### **Other offences**

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

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

### **Discretionary exclusions**

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

Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law (as retained in UK law in accordance with Section 4 Section 4 of the EU Withdrawal Act 2018 (as amended by the EU (Withdrawal Agreement) Act 2020)), 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:-

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Where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years.

In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination.

In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).

Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;

Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;

Where the organisation has been in breach of the National Minimum Wage Act 1998.

### **Bankruptcy, insolvency**

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

### **Grave professional misconduct**

Guilty of grave professional misconduct

### **Distortion of competition**

Entered into agreements with other economic operators aimed at distorting competition

### **Conflict of interest**

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

Been involved in the preparation of the procurement procedure

### **Prior performance issues**

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

### **Misrepresentation and undue influence**

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

## **Additional exclusion grounds**

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

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

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

- ILO Convention 87 on Freedom of Association and the Protection of the Right to Organise;
- ILO Convention 98 on the Right to Organise and Collective Bargaining;
- ILO Convention 29 on Forced Labour;
- ILO Convention 105 on the Abolition of Forced Labour;
- ILO Convention 138 on Minimum Age;
- ILO Convention 111 on Discrimination (Employment and Occupation);
- ILO Convention 100 on Equal Remuneration;
- ILO Convention 182 on Worst Forms of Child Labour;
- Vienna Convention for the protection of the Ozone Layer and its Montreal Protocol on substances that deplete the Ozone Layer;
- Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (Basel Convention);
- Stockholm Convention on Persistent Organic Pollutants (Stockholm POPs Convention)

- Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (UNEP/FAO) (The PIC Convention) Rotterdam, 10 September 1998, and its 3 regional Protocols.

### **Consequences of misrepresentation**

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

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

If there is a conviction, then the company must be excluded from procurement for five years under reg. 57(1) of the PCR (subject to self-cleaning).

# Appendix 3 – Completion of Project Cost Breakdown Form

## Overview

The BEIS Project Cost Breakdown Form is a standard template used to capture costs and overheads to inform multiple procurement competitions of varying size and scope. As a result, whilst it contains multiple green input tabs, not all will require completing, particularly for lower value or less complex procurements.

### **AAR SBRI Competition – Mandatory input tabs for all Applicants**

Based on project requirements as detailed at Section 1.6 and Section 2.0, Applicants must **as a minimum**, complete the following tabs:

#### **Labour & Overhead Costs tab**

For all project team members for whom the Applicant wishes to recover costs or overheads they must complete all light blue input cells (columns C,E,G,I,O and S) following the example format provided at Row 18.

#### **Project Quarterly Breakdown tab**

At columns [H] and [I] Applicants should provide a quarterly profile for each Cost or Overhead category where £ amounts have been entered. Please note the FY22-23 totals at column [L] must equal the equivalent total on the 'Summary' tab – Thus the 'Total Labour costs' figure at cell [L10] of the Project Quarterly Breakdown tab must equal the 'Total Labour Costs, exc Overheads' figure at cell E 17 of the 'Summary' tab.

### **AAR SBRI Competition – Other potential input tabs**

Applicants intending to claim eligible Travel and Subsistence Costs must complete the relevant blue input fields in the **Travel & Subsistence tab**.

Applicants intending to utilise one or more Sub-Contractors must complete the relevant blue input fields in the **Sub-Contract Costs tab**.

For consortia bids, each Partner must complete the relevant light blue input cells in the **Partner Breakdown tab**.

Applicants intending to claim for other costs should complete the relevant light blue input cells in either the **Material Costs, Capital Equipment or Other Costs tab**.



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light blue. Given the anticipated desktop nature of work associated with production of the Feasibility Reports, this should include full justification for costs being claimed.

## Appendix 4 – Example Benefits Plan

Benefit Name	Description	Timeframe	Measure	Frequency of Measure	Baseline Project Start	Actual	Forecast Project Close	Target
Accelerate Commercialisation	To accelerate delivery of advanced product features. Suitable for sale at volume.	Over 3 years	Value of Sales £	Forms part of quarterly review At Project close 3 years after Project close	0	304,000	1,200,000	8,800,000
Reduction in Carbon Emissions	Reducing the carbon emissions of the product in order to meet revised Net Zero targets	Over 3 years	kT CO2e/yr	Forms part of quarterly review At Project close 3 years after Project close	1	5.3	13.5	29.7
Cost reduction of low carbon technologies	Reducing the manufacturing costs to increase consumer acceptability	Over 5 years	Reduction in cost £	Forms part of quarterly review At Project close 5 years after Project close	160	150	110	100
Increased knowledge stimulating further innovation	Agreed standardisation documents to provide guidance on the DDe design of commercial appliances	At Project Close	Quality rating	Forms part of quarterly review At Project close	N/A	N/A	N/A	N/A

# Appendix 5 – Accelerator Support for SMEs

## Overview

The Accelerator Support for SMEs offers acceleration support to applicants that successfully progress to Phase 2: Development, and meet the definition of Small & Medium Enterprise (SME) (Table A5.1). This is highly recommended for SME SBRI awardees to help develop their business. This Acceleration Support is 100% funded by BEIS. This support will focus on helping the applicant to prepare commercial plans and actions that will increase the chance of successfully bringing the innovation to market or reduce the time to market.

**Table A5.1 Categories for business size definitions - Summary**

<b>Company Category</b>	<b>Staff Headcount</b>		<b>Turnover</b>		<b>Balance Sheet Total</b>
Medium	<250 people	<b>AND</b>	≤£45m	<b>OR</b>	≤£39m
Small	<50 people	<b>AND</b>	≤£9m	<b>OR</b>	≤£9m
Micro	<10 people	<b>AND</b>	≤£2m	<b>OR</b>	≤£2m

## Nature of support offered

The starting point for acceleration support is to consider the current stage of commercial preparation and identify (with the applicant) critical next steps, business strengths and gaps, benchmarked for the stage of the individual business across all key Acceleration Support focus areas:

- Market engagement and proposition
- Strategy and sales
- Team and board
- Funding and investment
- Product-service design, development and launch
- Business processes and controls

Specialist advisers will be assigned by BEIS to support the company in the development of the appropriate knowledge and skills. Three types of support will be available dependant on company need:

1. Tailored support, including coaching and specialist support across the six focus areas
2. Group training and learning resources, including sector specific masterclasses and techno-market workshops
3. Access to industry and finance networks, providing companies with investor engagement opportunities, pitch training sessions, facilitated market engagement and networking opportunities.

All SME-led proposals that are awarded funding and wish to receive Acceleration Support will need to participate in an Acceleration Support Planning meeting. This planning session will be conducted by The Carbon Trust who have been appointed to deliver Acceleration Support Services on behalf of BEIS. Following the planning meeting an acceleration plan will be created outlining the task delivery plan. These plans will be bespoke and based on company needs identified.

### **Accelerator Support on SBRI-funded projects**

BEIS have historically offered Acceleration Support to help grant recipients achieve maximum commercial impact from the grant. From the experience of the Energy Entrepreneur's Fund (EEF) scheme managed by BEIS, there is a clear distinction between projects that received Acceleration Support and those companies who were high-scoring applications but did not receive funding and Acceleration Support, through the EEF scheme.

It is highly recommended that SBRI recipients take up the offer of Acceleration Support Services and co-operate with both the Acceleration Planning Session and the Acceleration Manager, who will oversee the delivery of the acceleration support. However, unlike the EEF scheme, receiving the identified acceleration support is not a condition of the SBRI contract award.

Participants will also be asked to collaborate in monitoring and evaluation activities and to provide feedback on support provided through the programme.

This publication is available from: [Flexibility Innovation Programme web-page](#)

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