

Rft 11710 - LLWR BATS Qualification - Cat 5: Finance

**Buyer:** CTM Portal for the NDA Shared Services Alliance  
**Department:** Business & Technical Services Marketplace (BATS)  
**Package:** Cat 5: Finance

- Icons:**
- ! Mandatory requirement
  - Document attachment required to answer
  - Document attachment allowed to answer
  - Expires

BATS01

**01**

A fast track qualification process is available for the Business and Technical Services Marketplace. If you are already registered on the equivalent Business Services Marketplace Category (RFT 9282) you will only need to answer Section 01, Section 1, Section 2, Section 7, Section 9.5 (a) and Section 10. If you are a new Supplier, please answer all questions.

**02**

Are you already registered against the equivalent BSM category (Category 5: Finance)?

- ☐ Yes - I am already registered against the equivalent BSM category
- ☐ No - I am not registered against the equivalent BSM category?

Part 1: Potential supplier information

**0.1**

"Part 1: Potential supplier information

NOTE: Important guidance for completing this questionnaire

1. Refer to the tender document pack for details regarding the evaluation methodology and approach.
2. Refer to the attached standard selection guidance contained in PPN 8/16 for background and guidance for these questions.
3. If more than one supplier has to respond to a question please complete the additional responses and upload to the question folder.
4. Respond with N/A if any of the questions are not applicable, do not leave the response blank.
5. You will be self-certifying compliance to several questions by responding either 'Yes' or 'No'. We will ask you to upload supporting evidence in the event that you are named as preferred bidder following announcement of the contract award decision (for Open Procedure procurements), or prior to being invited to tender (for Restricted Procedure procurements). The Contracting Authority does, however, reserve the right to request this evidence sooner if it is deemed necessary to ensure the proper conduct of the procurement procedure. Tenderers must note that if they are unable to provide valid supporting evidence in a timely manner then the Tenderer's preferred bidder status will be revoked and a contract will not be awarded to said Tenderer (for Open Procedure procurements) or you will no longer be invited to tender (for Restricted Procedure procurements).
6. Please answer the following questions in full. Key subcontractors must also fully complete the SQ (the definition of ""Key Subcontractors"" is stated in the ITT/EOI).
7. If you need to upload a document in response to a question, please ensure that the file name of the document is prefaced with the question reference e.g. Q1.1(a).
8. A European Single Procurement Document (ESPD) may be provided in response to the Part 1 and Part 2 questions of this SQ. All remaining questions must be answered in the form required by the ITT/EOI.
9. The questions may use a number of different terms to refer to the entity that is submitting a tender response e.g. supplier, company, tenderer, bidder, organisation, economic operator etc. Although the terms are different, they have the same meaning and are used interchangeably, unless stated otherwise.

Section 1 - Potential Supplier Information

**1.1(a)**

Full name of the potential supplier submitting the information

Text

**1.1(b) – (i)**

Registered office address (if applicable)

Text

**1.1(b) – (ii)**

Registered website address (if applicable)

Text

**1.1(c)**

Trading status, please select one of the following:

- ☐ a) public limited company
- ☐ b) limited company
- ☐ c) limited liability partnership
- ☐ d) other partnership
- ☐ e) sole trader
- ☐ f) third sector
- ☐ g) other (please upload your trading status)



1.1(d)

Date of registration in country of origin

Text

1.1(e)

Company registration number (if applicable)

Text

1.1(f)

Charity registration number (if applicable)

Text

1.1(g)

Head office DUNS number (if applicable)

Text

1.1(h)

Registered VAT number

Text

1.1(i) - (i)

If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?

- ☐ Yes
- ☐ No
- ☐ N/A

1.1(i) - (ii)

If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s).

Text

1.1(j) - (i)

Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?

- ☐ Yes
- ☐ No

1.1(j) - (ii)

If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.

Text

1.1(k)

Trading name(s) that will be used if successful in this procurement

Text

1.1(l)

Select which classification applies to your company

- ☐ a) Voluntary Community Social Enterprise (VCSE)
- ☐ b) Sheltered Workshop
- ☐ c) Public service mutual
- ☐ d) None of the above

1.1(m)

Are you a Small, Medium or Micro Enterprise (SME)?

The definition of an SME can be found at: [https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition\\_en](https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en)

- ☐ Yes
- ☐ No

1.1(n)

Details of Persons of Significant Control (PSC), see Note 1 below, where appropriate:

- Name;
- Date of birth;
- Nationality;
- Country, state or part of the UK where the PSC usually lives;
- Service address;
- The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);
- Which conditions for being a PSC are met;
- Over 25% up to (and including) 50%;
- More than 50% and less than 75%;
- 75% or more.

Note 1

UK companies, Societates European (SEs) and limited liability partnerships (LLPs) are required to identify and record the people who own or control their company. Companies, SEs and LLPs need to keep a PSC register, and must file the PSC information with the central public register at Companies House.

(Please enter N/A if not applicable)

Text

1.1(o)

Details of immediate parent company:

- Full name of the immediate parent company
- Registered office address (if applicable)
- Registration number (if applicable)
- Head office DUNS number (if applicable)
- Head office VAT number (if applicable)

(Please enter N/A if not applicable)

Text

1.1(p)

Details of ultimate parent company:

- Full name of the ultimate parent company
- Registered office address (if applicable)
- Registration number (if applicable)
- Head office DUNS number (if applicable)
- Head office VAT number (if applicable)

(Please enter N/A if not applicable)

Text

NOTE: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.

Section 1 - Bidding model

1.2(a) - (i)

Are you bidding as the lead contact for a group of economic operators?

If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.

If no, and you are a supporting bidder please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3.

- ☐ Yes
- ☐ No

1.2(a) - (ii)

Name of group of economic operators (if applicable)

Text

1.2(a) - (iii)

Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure.

Text

1.2(b) - (i)

Are you or, if applicable, the group of economic operators proposing to use sub-contractors?

- ☐ Yes
- ☐ No

1.2(b) - (ii)

If you responded yes to 1.2(b)-(i) please provide the details, listed below. for each sub-contractor. We may ask them to supply this detail as well.

- Name
- Registered address
- Trading status
- Company registration number
- Head Office DUNS number (if applicable)
- Registered VAT number
- Type of organisation
- SME (Yes/No)
- The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables
- The approximate % of contractual obligations assigned to each sub-contractor

Text

Section 1 - Contact details and declaration

1.3

NOTE: Contact details and declaration

- I declare that to the best of my knowledge the answers submitted and information contained in this response are correct and accurate.
- I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this questionnaire.
- I understand that the information will be used in the selection process to assess my organisation's suitability to be invited to participate further in this procurement.
- I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.
- I am aware of the consequences of serious misrepresentation.

1.3(a)

Contact name

Text

1.3(b)

Name of organisation

Text

1.3(c)

Role in organisation

Text

1.3(d)

Phone number

Text

1.3(e)

E-mail address

Text

1.3(f)

Postal address

Text

1.3(g)

Signature (Not required this information is captured in the CTM audit trail)

Text

1.3(h)

Date

Text

Part 2: Exclusion Grounds

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

Section 2 - Grounds for mandatory exclusion

2.1(a)

NOTE: Regulations 57(1) and (2)

The detailed grounds for mandatory exclusion of an organisation are set out in the 'Standard Selection Guidance', part of the document pack for this requirement, which should be referred to before completing these questions.

Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary listed in the above document.

2.1(a) (i)

Participation in a criminal organisation.

If Yes please provide details at 2.1(b)

- ☐ Yes
- ☐ No

2.1(a) (ii)

Corruption.

If Yes please provide details at 2.1(b)

- ☐ Yes
- ☐ No

2.1(a) (iii)

Fraud.

If Yes please provide details at 2.1(b)

- ☐ Yes
- ☐ No

2.1(a) (iv)

Terrorist offences or offences linked to terrorist activities

If Yes please provide details at 2.1(b)

- ☐ Yes
- ☐ No

2.1(a) (v)

Money laundering or terrorist financing

If Yes please provide details at 2.1(b)

- ☐ Yes
- ☐ No

2.1(a) (vi)

Child labour and other forms of trafficking in human beings

If Yes please provide details at 2.1(b)

- ☐ Yes
- ☐ No

2.1(b)

If you have answered yes to question 2.1(a)(i) - 2.1(a)(vi) inclusive, please provide further details.

Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,

Identity of who has been convicted

If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.

Text

2.2

If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion ? (Self Cleaning)

- ☐ Yes
- ☐ No
- ☐ N/A

2.3(a)

Regulation 57(3)

Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?

- ☐ Yes
- ☐ No

2.3(b)

If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.

Text

NOTE: The authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

Section 3 - Grounds for discretionary exclusion

3.1

NOTE: Regulation 57 (8)

The detailed grounds for discretionary exclusion of an organisation are set out in the 'Standard Selection Guidance', part of the document pack for this requirement, which should be referred to before completing these questions.

Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.

3.1(a)

Breach of environmental obligations?

If Yes please provide details requested at 3.2 and include details of the breach

- ☐ Yes
- ☐ No

3.1 (b)

Breach of social obligations?

If Yes please provide details requested at 3.2 and include details of the breach

- ☐ Yes
- ☐ No

3.1 (c)

Breach of labour law obligations?

If Yes please provide details requested at 3.2 and include details of the breach

- ☐ Yes
- ☐ No

3.1(d)

Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an

arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?

If Yes please provide the details requested at 3.2 and include the following information :

- Nature of the bankruptcy / insolvency proceedings;
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

☐ Yes

☐ No

3.1(e)  
Guilty of grave professional misconduct?

If Yes please provide the details requested at 3.2 and include the following information:

- Nature of the professional misconduct; and
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

☐ Yes

☐ No

3.1(f)  
Entered into agreements with other economic operators aimed at distorting competition?

If Yes please provide the details requested at 3.2 and include the following information :

- details of the agreements that the contractor has entered into, including the names of the other economic operators which are party to the agreements; and
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

☐ Yes

☐ No

3.1(g)  
Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?

If Yes please provide the details requested at 3.2 and include the following information :

- details of the actual or perceived conflict of interest; and
- details of the measures that the Tenderer has or proposes to put in place to remedy the actual or perceived conflict of interest.

☐ Yes

☐ No

3.1(h)  
Been involved in the preparation of the procurement procedure?

If Yes please provide the details requested at 3.2 and include the following information :

- nature of the Tenderer's prior involvement in the preparation of the procurement procedure; and
- the measures that the Tenderer has put in place to remedy any distortion of competition arising from the Tenderer's prior involvement in the procurement procedure

☐ Yes

☐ No

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

If Yes please provide the details requested at 3.2 and include the following information :

- details of the relevant contract(s);
- details of the relevant contracting entity;
- details of the deficiencies in the Tenderers performance in respect of those contracts;
- details the sanctions applied as a consequence of the Tenderer's performance (i.e early termination, damages or other) AND
- details the measures the Tenderer has put in place to prevent future performance deficiencies in contract delivery.

☐ Yes

☐ No

3.1(j)

NOTE: Please answer the following statements

3.1(j) - (i)

The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.

If Yes please provide the details requested at 3.2 and include the following information :

- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

☐ Yes

☐ No

3.1(j) - (ii)

The organisation has withheld such information.

If Yes please provide the details requested at 3.2 and include the following information :

- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion

☐ Yes

☐ No

3.1(j) –(iii)

The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.

If Yes please provide the details requested at 3.2 and include the following information :

- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion

☐ Yes

☐ No

3.1(j)-(iv)

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

If Yes please provide the details requested at 3.2 and include the following information :

- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion

☐ Yes

☐ No

3.2

If you have answered Yes to any of the above, explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)

Text

BATS04

04

In order to qualify the Authority will perform a Dun and Bradstreet check to assess financial risk. If the risk rating is 2 or lower this will result in a pass. If the risk rating is higher or not available then the Authority will need to be satisfied that the Supplier is sufficiently financially robust via the provision of the information requested in 4.3(a), (b) or (c). In order to minimise delays in the qualification process, Suppliers are requested to provide the information requested in 4.3(a), (b) or (c) as applicable.

Section 4 - Economic and Financial Standing

4.3

Please indicate which of the following you have provided to demonstrate your economic/financial standing:

A copy of your audited accounts for the last two years?

Yes / No

If no, provide one of the following: answer with Y/N .

☐ Yes

☐ No

4.3(a)

A statement of the turnover, Profit and Loss, Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation.

Yes / No / N/A

☐ Yes

☐ No

☐ N/A

**4.3(b)**

A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.

Yes / No / N/A

☐ Yes

☐ No

☐ N/A

**4.3(c)**

Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).

Yes / No / N/A

☐ Yes

☐ No

☐ N/A

Section 5 - Group details (If applicable)

NOTE:  
This section is for Information Only  
If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:

**5 (i)**

Name of organisation

Text

**5 (ii)**

Relationship to the Supplier completing these questions

Text

**5.1**

Are you able to provide parent company accounts if requested to at a later stage?

- ☐ Yes

☐ No

☐ N/A

**5.2**

If yes, would the parent company be willing to provide a Parent Company Guarantee if necessary?

- ☐ Yes

☐ No

☐ N/A

**5.3**

If no, would you be willing and able to obtain a guarantee elsewhere (e.g. from a bank)?

- ☐ Yes

☐ No

☐ N/A

Section 6 - Technical and Professional Ability (References)

**6.1**

Please provide details, listed below, of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years.

Works contracts may be from the past five years.

The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below. Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).

Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or subcontractor(s) who will deliver the contract.

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

Text

6.3

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

Text

Section 7 - Modern Slavery Act 2015 requirements

7.1

Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?

- Yes
- No

7.2

If you have answered Yes to question 7.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?  
If Yes please copy / paste the URL into a blank document and upload to the question folder.  
If No please upload an explanation to the question folder.

- Yes
- No
- N/A

8.1 Insurances

8.1 (a)

Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated in the tender documentation.

- Yes
- No

9.3 Health & Safety

9.3 (a)

Do you hold a UKAS accredited independent third party certificate of compliance with BS OHSAS 18001 or equivalent?  
If 'Yes' please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.  
If 'No' please answer question 9.3 (b)  
For the avoidance of doubt, you must be able to provide a positive response to at least one of these questions (9a, b, c or d) to Pass this section

- Yes
- No

9.3 (b)

Have you within the the last twelve months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum?  
If 'Yes' please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.  
If 'No' please answer question 9.3 (c) or 9.3 (d) (the relevant question will be included within the SQ).

- ☐ Yes
- ☐ No
- ☐ N/A

9.3 (c)

Does your organisation have a Health and Safety Policy that fully complies with current legislative requirements and meets the requirements of BS OHSAS 18001 or equivalent?

If 'Yes' please be prepared to provide evidence if requested.

- ☐ Yes
- ☐ No
- ☐ N/A

9.4 Quality

9.4 (a)

Do you hold a UKAS accredited independent third party certificate of compliance with BS EN ISO 9001 or equivalent?

If 'Yes' please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.

If 'No' please answer question 9.4 (b)

- ☐ Yes
- ☐ No

9.4 (b)

Do you have a policy and organisation for quality management that fully meets the requirements of BS EN ISO 9001 or equivalent?

If 'Yes' please be prepared to provide evidence if requested.

- ☐ Yes
- ☐ No
- ☐ N/A

9.4 (c)

Do you have a policy and organisation for quality management that fully meets the requirements of BS EN ISO 9001 or equivalent, or are you able to confirm that you are working towards meeting the requirements of BS EN ISO 9001 or equivalent?

If 'Yes' please be prepared to provide evidence if requested.

- ☐ Yes
- ☐ No
- ☐ N/A

9.5 a Cyber

9.5 (a)

Do you hold ISO27001 accreditation and/or Cyber Essentials or Cyber Essentials Plus or equivalent?

If yes, please upload your certificate(s) and controlling procedure(s)

If no, please answer q. 9.5 (a) (i)

For the avoidance of doubt, you must be able to provide a positive response to at least one of these questions (9.5a or b) to Pass this section

- ☐ Yes
- ☐ No

9.5 (a) (i)

If you answered No to question 9.5 (a), please confirm you are committed to obtaining one of the above mentioned (ISO 27001, Cyber Essentials or Cyber Essentials Plus) prior to contract go live.

- ☐ Yes
- ☐ No
- ☐ N/A

10. Acceptance of Terms & Conditions

10.

Do you confirm your acceptance of the BATS Marketplace DPS Terms and Conditions?

- ☐ Yes
- ☐ No