Rft 13256 - RWM381 Supplier and Management System Audit

Buyer: CTM Portal for the NDA Shared Services Alliance
Department: Business & Technical Services Marketplace (BATS)
Package: RWM381 Supplier and Management System Audit

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

Part 1: Potential supplier information

0.1

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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

- ☐ 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*